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TEAM COMMUNICATION: THE SOCIAL IDENTITY
APPROACH TO COLLABORATION

by

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December 2015

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This research applies the social identity approach to organizations and the public sector leaders who are instrumental in building the collaborative capacity of their respective groups. Collaboration at all levels of government and with the agencies within those levels of government has been elusive. Traditional studies on collaborative public management have focused on the need for collaboration and failures that occur without collaboration. Past studies in leadership communication have largely ignored the role of social identity in individual behavior. This research blends the social identity approach, collaborative public management, and leadership communication in order to alleviate these issues.

The analysis of this research proposes that the social identity approach to organizational behavior gives insight into individual member behavior and thus the behavior of groups and the organization itself. Communication techniques are filtered through the social identity approach in order to identify those techniques that have the greatest chance of creating an identity that is more open to collaboration.

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TEAM COMMUNICATION: THE SOCIAL IDENTITY APPROACH TO COLLABORATION

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ABSTRACT

This research applies the social identity approach to organizations and the public sector leaders who are instrumental in building the collaborative capacity of their respective groups. Collaboration at all levels of government and with the agencies within those levels of government has been elusive. Traditional studies on collaborative public management have focused on the need for collaboration and failures that occur without collaboration. Past studies in leadership communication have largely ignored the role of social identity in individual behavior. This research blends the social identity approach, collaborative public management, and leadership communication in order to alleviate these issues.

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EXECUTIVE SUMMARY

This research applies sociology to leadership in the homeland security profession. Communication and collaboration are significant considerations for leaders throughout the homeland security enterprise. Communication allows leaders to give clear direction, reduce confusion, and build a vision people can support. Collaboration is valuable because multiple stakeholders can resolve difficult homeland security problems by working toward common goals. This research project focuses on a framework leaders can use to communicate in order to build group identity so that collaboration will be positively impacted. The framework emerged from a research-dense analysis of multiple academic arenas and resulted in a definition of collaboration and five communicative constructs leaders can use to change group behavior.

The question guiding this research is, "can the social identity approach be applied to public sector organizations in order to define collaboration relative to public sector organizations and provide principles and a framework for public sector leaders to build collaborative capacity through communication?" This question is answered by first organizing research concerning collaborative public management and analyzing concepts from the social identity approach to define collaboration. The second part of the research focuses on communication because communication is one of the main processes in building and managing group identity. Group behavior is the main theme, which is interwoven throughout this research and is based on self-categorization theory and social identity theory. These two theoretical areas make up the social identity approach.

The social identity approach looks at both the group and the individual in order to psychologically analyze human behavior. The core belief of this research is that social identity can impact leadership, group performance, and organizational behavior because collective behavior is driven by individual psychological processes and intergroup relationships. The research concerning both parts of the social identity approach, including the self-categorization theory and the social identity theory, is valuable to communication skills and public sector collaboration.

Academic research in collaboration, communication, and social identity was scrutinized and synthesized. Blending three areas of research together into one large mixture was more akin to using a set of sieves than making a stew. Rather than becoming a murky mixture of complex theoretical topics, the result of the research allowed information to be separated that applies to collaboration, communication, and social identity. The research resulted in two major conclusions. First, a definition of collaboration, based on the social identity approach, was provided so that leaders could use it to build a strategic vision. Second the analysis of available research provides communicative constructs leaders can use to build collaborative capacity.

The culmination of this research project occurred because appreciative inquiry was used to synthesize existing research. Simply stated, appreciative inquiry pursues changes to human systems with a focus on strengths. It is ultimately a method that takes a positive view of making change. This research looked at the strengths in each area to systematically extract positive aspects of academic research related to the social identity approach, communication, and collaboration. This approach to research was beneficial because it resulted in information that would be valuable to the goal of defining collaboration and providing communicative constructs that could change group behavior.

The social identity approach was the overarching theoretical framework used to examine both collaboration and communication. The social identity approach was applicable to this research because it applies to group behavior through an understanding of self-categorization and group identity. In general, the social identity approach provided for the consideration of collective behavior, and thus collaboration, as a psychologically-based event. One of the arguments of this research project is that collaboration is elusive because of human behavior rather than organizational structure or technology. Therefore, the social identity approach is directly applicable to collaboration.

In addition to collaboration, the social identity approach applied to communication. Through the research, it was found that communication serves as a construction tool when building identity, provides a means of tuning or manipulating existing group identities, and also serves to constrain communication by defining communication which was accepted by the group. The social identity approach therefore

is a connecting mechanism that brought together the two disparate areas of research: collaboration and communication.

The intersecting concepts from research about social identity, collaboration, and communication resulted in a definition of collaboration that leaders could use in order to develop a shared vision of collaborative behavior. The proposed definition of collaboration is: *a group relationship where the group cannot rely solely on bureaucratic or market-driven sources of power and in which members identify themselves as part of a group, put the needs of the group ahead of their own, and negotiate with each other as they decide on actions to meet an established goal of the group.* The strength of this definition is it applies to groups that form on short notice and also those that may have a long history. The definition gives leaders a basic understanding of group behavior and social identity without the need to completely understand the theoretical underpinnings. In addition to a useful, theoretically sound definition of collaboration, the sifting of research through multiple filters provides leaders with five communicative constructs to build collaborative capacity: (1) model the behavior, (2) adjust salience through communication, (3) motivate through superordinate goals, (4) provide respect-generating self-categorization options, and (5) validate prototypical behavior of group members.

The five communicative constructs are considerations for homeland security leaders. Each of these constructs provides a leader with practical guidance based on academic research and rich theoretical background. Leaders can feel confident in considering the five constructs because they have been vetted through a process of appreciative inquiry using research into the social identity approach, communication, and collaboration. The constructs fit the needs of leaders to create a group identity or manipulate an existing identity to develop collaborative behavior.

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I.   INTRODUCTION

> People are perhaps the most sociable of all creatures: delighting in and thriving upon the company of others… They are socially constructed. Their views, opinions, values, activities, and means of communication are learnt or acquired from others. Their behavior is largely governed by norms, or agreements between people… Without such agreement, communication, which lies at the core of human existence would be impossible – it depends upon the existence of an agreed-upon set of rules, or a grammar.[1]

The homeland security profession is faced with numerous problems that transcend levels of government, cross jurisdictional boundaries, require response from disparate agencies, and impact both the public and private sector. The need for collaboration is therefore a paramount consideration for the homeland security enterprise. Collaboration is a recognized necessity, yet it has been elusive at all levels of government from a strategic consideration of the federal system as a whole, down to individuals within specific agencies. Effective collaboration could allow leaders to manage both the hierarchical structure of their own agencies and coordinate efforts with other agencies.

Homeland security, as it is known today, arguably began after the attacks of September 11, 2001. The attacks, "provoked alarm and grief across the United States" and necessitated "intergovernmental and interjurisdictional responses."[2] The federal system of government in the United States and the Constitutional principle of separation of powers drive the need for all levels of government and agencies within those levels to work together.[3] This view of federalism does not take into account that policy implementation is negotiated between levels of government and between agencies. Therefore, because power is divided and levels of government must work together to

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[1] Michael A. Hogg and Dominic Abrams, *Social Identifications: A Social Psychology of Intergroup Relations and Group Processes* (New York: Routledge, 1998), 1.

[2] John Kincaid and Richard L. Cole, "Issues of Federalism in Response to Terrorism," *Public Administration Review* 62, No. S1 (September 2002): 181-192, doi: 10.1111/1540-6210.62.s1.28, 181.

[3] George Berkley and John Rouse, *The Craft of Public Administration,* (New York: McGraw Hill, 2004), 17.

generate an effective and united response to man-made and natural disasters, building the capacity to collaborate is an important leadership skill.

Before the Civil War, the United States was thought of as a number of separate states with power vested in the states; while after the war, the United States was considered more centralized with more power at the national level of government.[4] Following the Great Depression and World War II, again more power was centralized with the national government.[5] The implication is that "national calamities" are followed by "periods of centralization."[6] Although the past has proven that following times of great national crisis power is centralized in the national government, the current issue of homeland security is not an issue that can be solved with centralization. On the contrary, the need to protect the homeland is not "something that can be managed entirely from Washington," but rather "requires some form of devolution" where the relationship between the national, state, and local levels of government must be "more interconnected than in the past."[7] Rather than power centralized through a hierarchy, the question becomes how can a public sector leader develop into "a far more adept conductor of a new breed of collaborative federalism."[8]

A.   STATEMENT OF THE PROBLEM

Public sector agencies may respond to emergencies including natural disasters, terrorist attacks, and failures of critical infrastructure that are not constrained by jurisdictional boundaries. Such events will require the "efforts of local, state, tribal, territorial, insular area, and Federal governments in responding to actual and potential incidents."[9] The capacity of public agencies to collaborate may therefore influence the

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[4] Donald Kettl, "Devolve and Protect," *Governing* (December 2001). http://www.governing.com/columns/potomac-chronicle/Devolve-Protect.html.

[5] Ibid.

[6] Ibid.

[7] Ibid.

[8] Ibid.

[9] United States Department of Homeland Security, *National Response Framework Second Edition,* (Washington, D.C.: U.S. Government Printing Office, 2013), 2.

effectiveness of an interdependent response where public organizations may depend on other agencies.[10] Two problems with public sector collaboration are:

(1) A clear definition of collaboration, which gives public sector leaders a shared vision of collaboration, does not exist.

(2) Public sector leaders need communication tools to build collaborative capacity because a gap between theory and practice exists.

In summary, effective collaboration is a challenging undertaking. Collaboration requires that "cooperation and innovation be achieved," while also meeting "the interests of those organizations represented in the collaboration."[11] The need for cooperation indicates a need to form an in-group with a shared identity. The need to meet multiple goals, including those of the home agencies of individuals that have joined a collaborative group, recognizes that people do self-categorize into multiple identities, and the salience of those identities can impact the decisions they make. This is why the social identity approach can serve as the underlying backbone of any theory that attempts to influence an individual or group's capacity to collaborate.

B. BACKGROUND AND NEED

Collaboration between public sector organizations has been wrought with challenges. A lack of control and absence of collaboration has resulted in failures by homeland security leaders. For example, the House Select Committee to Investigate the Preparation for and Response to Hurricane Katrina, found that public officials failed to adapt existing plans to real-time circumstances, failed to sort out responsibilities, and failed to communicate effectively when responding.[12] The House Select Committee also cited "leadership problems" as one of the most prominent issues with the lack of a

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[10] Donald Kettl, *Sharing Power,* (Washington, DC: The Brookings Institution, 1993).

[11] Cynthia Hardy, Thomas B. Lawrence, and David Grant, "Discourse and Collaboration: The Role of Conversations and Collective Identity," *The Academy of Management Review* 30, no. 1 (January 2005): 58-77, doi: 10.2307/20159095, 59.

[12] United States House Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina, *A Failure of Initiative,* (Washington, D.C.: U.S. Government Printing Office, 2006). http://katrina.house.gov/full_katrina_report.htm

collaborative response during Hurricane Katrina.[13] Collaborative public management has been argued as the solution to problems of interagency responsiveness. In addition to contributing to the success of emergency response, collaborative public management is also important when dealing with other aspects of homeland security such as counter-terrorism and intelligence.

The 9/11 Commission, in their analysis of the issues leading up to the 9/11 attacks, indicated that cooperation prior to the attacks was a major problem and recommended to solve the "unity of effort" problem by combining resources and people "more effectively."[14] The 9/11 Commission focused on "significant changes in the organization of the government" stating that, "the national security institutions of the U.S. government are still the institutions constructed to win the Cold War."[15] Structure of government may be the easiest to observe; however, barriers to collaboration are arguably more due to behavioral problems than a structural problem.

1.   Problem #1 – Defining Collaboration

Collaborative public management is an area of analysis, which emerged as the result of a new era of openness and complexity in government[16] and increasing interdependence where public organizations may count on other agencies for assistance.[17] Generally, collaborative public management exists in a range of ideas between formal hierarchy on one end and informal networks on the other end. This is a very broad range of ideas where a solid definition does not exist. Vagueness in the definition of collaboration is a leadership issue.

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[13] William L. Waugh Jr. and Gregory Streib, "Collaboration and Leadership for Effective Emergency Management," *Public Administration Review* 66, no. S1 (December 2006): 131-140, doi: 10.1111/j.1540-6210.2006.00673.x.

[14] National Commission on Terrorist Attacks upon the United States, *The 9/11 Commission Report: Final Report on the National Commission on Terrorist Attacks Upon the United States* (New York, NY: W. W. Norton & Company, 2004), 399.

[15] Ibid., 399.

[16] Stephen Goldsmith and William Eggers, *Governing by Network: The New Shape of the Public Sector* (Washington, DC: Brooking Institution Press, 2004).

[17] Donald Kettl, *Sharing Power* (Washington, DC: The Brookings Institution, 1993).

In 1961, Dwight Waldo made a point about the confusion surrounding organizational theory by using a fable about blind men. In describing an elephant, each blind man was describing a separate part of the elephant. To make his point Waldo wrote, "there is little doubt here that it is a single elephant being discussed, but, by and large, each of the observers begins his description from a different point, and often with a special end in view."[18] Today, a similar problem related to public sector collaboration exists.

There is extensive literature on collaboration; however, it is "without agreement on terms" because the literature draws "from a wide variety of perspectives."[19] The terms cooperation and coordination are often used interchangeably when discussing interagency collective action; however, collaboration is a "higher-order level of collective action than cooperation or coordination."[20] In summary, collaboration in the public sector "is an idea that resonates with many, yet the term 'collaboration' lacks a common lens or definition."[21] Therefore, "one seemingly simple yet powerfully important challenge for practitioners and researchers alike, then, is to define what they mean by collaboration and to make sure that there is a shared definition."[22]

Defining collaboration in the public sector is important because problems managing collaboration develop from a "difference in professional (and sometimes natural) languages and organizational cultures."[23] Leaders arguably "enact a particular form of social reality" where they must "define the situation."[24] Without a definition of

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[18] Dwight Waldo, "Organization Theory: An Elephantine Problem," *Public Administration Review* 21, no. 4 (Autumn 1961): 210-225, doi: 10.2307/973632, 216.

[19] Ann Marie Thomson and James L. Perry, "Collaboration Processes: Inside the Black Box," *Public Administration Review* 66, no. S1 (December 2006): 20-32, doi: 10.1111/j.1540-6210.2006.00663.x, 23.

[20] Ibid., 23.

[21] Rosemary O'Leary and Nidhi Vij, "Collaborative Public Management: Where Have We Been and Where are we Going?" *The American Review of Public Administration* 42 (September 2012): 507-522, doi: 10.1177/0275074012445780, 2.

[22] Ibid., 3.

[23] Chris Huxham and Siv Vangen, "Ambiguity, Complexity and Dynamics in the Membership of Collaboration," *Human Relations* 53, no. 6 (June 2000): 771-806, doi: 10.1177/0018726700536002, 772.

[24] Linda Smircich and Gareth Morgan, "Leadership: The Management of Meaning," *The Journal of Applied Behavioral Science* 18, no. 3 (1982): 257-273, doi: 10.1177/002188638201800303.

collaboration that reduces ambiguity and confusion, constructing such a reality to meet the goal of collaboration and build collaborative capacity would be difficult. For example, collaboration is an important concept for practitioners; however, it is a "confusing landscape" where problems may arise because "different accountability standards" may exist and could render the term collaboration "nearly meaningless."[25] In short, without understanding the definition of collaboration, it is difficult to know when or if the goal is attained.

Understanding a definition of collaboration is an important first step for leaders to develop collaborative capacity. Language is important because it develops relationships "with diverse stakeholders, particularly in sociocultural settings."[26] Language is, therefore, the vessel upon which context travels, and establishing an understandable and standard language is an important next step in evaluating collaborative public management and bringing it into practice with homeland security leaders. Additionally, the language used to define collaboration should match the leadership tools used to build collaborative capacity.

2.   Problem #2 – The Gap between Theory and Practice

The second problem with public sector collaboration is the gap between theory and practice which leaders may be able to bridge with communication. Building collaboration is "behavioral and process oriented; it is not structural," which makes it a difficult leadership activity.[27] In 2012, Rosemary O'Leary and Nidhi Vij studied the "most important issues, concepts, and ideas in collaborative public management research and practice," which resulted in a finding that there is a "seeming disconnect between theory and practice in collaborative public management research."[28] A lack of collaboration has been blamed for failures such as those that occurred during the response

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[25] Thomson and Perry, "Collaboration Processes," 24.

[26] Rodney K. Hopson, Kenya J. Lucas, and James A. Petersen, "HIV/AIDS Talk: Implications for Prevention Intervention and Evaluation," In *How and Why Language Matters in Evaluation* ed. R. Hopson (San Francisco: Jossey-Bass Publishers, 2000), 29.

[27] Eugene Bardach, *Getting Agencies to Work Together* (Washington, DC: Brooking Institution Press, 1998), 16.

[28] O'Leary and Vij, "Collaborative Public Management," 10.

to Hurricane Katrina[29] and prior to the 9/11 attacks.[30] Therefore, the disconnect between theory and practice is a significant issue. Communication can serve as the foundation for public sector leaders to connect theory with practice.

Communication allows leaders to "guide, direct, motivate, or inspire others."[31] In addition, approximately "three-quarters of managers' time is taken up with various acts of communication."[32] Therefore, a communication framework that shares common language with a definition of collaboration could build collaborative capacity. A communication framework built on solid principles of the social identity approach will be of benefit because, "without communication there could be no leadership, no motivation, no decision making, no negotiation, no power."[33]

This research is important because it will contribute to public sector leadership skills needed to build collaborative capacity and will define collaboration in the context of public sector leadership. The thesis hypothesizes that the social identity approach is a suitable framework to apply to public sector collaboration. Therefore, the assertion is that a clear definition of collaboration and principles of effective communication can be determined by using the social identity approach to view and analyze collaboration and provide a framework, which may bridge the gap between theory and practice.

C.   RESEARCH QUESTION

The purpose of this research project is to answer, "Can the social identity approach be applied to public sector organizations in order to define collaboration relative to public sector organizations and provide principles and a framework for public sector leaders to build collaborative capacity through communication?" First, the research organizes what is known about collaborative public management, and then analyzes

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[29] United States House Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina, *A Failure of Initiative*.

[30] National Commission on Terrorist Attacks upon the United States, *The 9/11 Commission Report*.

[31] Deborah J. Barrett, "Strong Communication Skills a Must for Today's Leaders," *Handbook of Business Strategy* 7, no. 1 (2006): 385-390, doi: 10.1108/10775730610619124.

[32] S. Alexander Haslam, *Psychology in Organizations: The Social Identity Approach* (Los Angeles: Sage, 2004), 80.

[33] Ibid.*,* 80.

concepts from the social identity approach to define collaboration. The definition is important because of the role language plays in a group's understanding of a particular concept. The group's understanding therefore plays a direct role in group behavior and decision-making. Once a definition is developed, it allows communication to take place which is the second part of the research.

D.   SIGNIFICANCE TO THE FIELD

This research is contemporary yet timeless. Collaboration is a valuable commodity for public sector organizations that will be called upon to work toward common goals to solve vexing homeland security problems including, but not limited to, disasters, terrorist attacks, failure of critical infrastructure, and the gathering of intelligence. Purported deficiencies in collaboration were noted after the "terrorist attacks of 9/11 and the Hurricane Katrina debacle in New Orleans and the Gulf Coast region."[34] This resulted in political pressure to make changes to the way bureaucracies work together at all levels of the United States' system of government.[35] It is reasonable to conclude that responses in the future will undergo scrutiny. Failures resulting from an inability to collaborate will be sources of criticism for public agencies and public servants.

The significance of the research is the blending of three separate theoretical areas: the social identity approach, collaborative public management, and communication. Each of these three areas can stand on its own in an academic setting and at the operational level within organizations. Combining the strengths of three separate academic areas of study could provide public sector leaders with a communication framework, best practices, and tools which will build collaborative capacity. Communication based on the social identity approach may allow the transference of information and meaning that directly impacts group behavior.[36]

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[34] Terence M. Garrett, "Interorganizational Collaboration and the Transition to the Department of Homeland Security: A Knowledge Analytic Interpretation," *Administration & Society* 42, no. 3 (May 2010): 343-460, doi: 10.1177/0095399710362718, 344.

[35] Garrett, "Interorganizational Collaboration and the Transition to the Department of Homeland Security."

[36] Haslam, *Psychology in Organizations*.

Transferring information and meaning between people is significant because this allows shared meaning to develop amongst a group. This is an important concept to this research because public sector leaders should not only use communication to build the collaborative capacity of the group they belong to within their organizations, but skills can also be developed for public sector leaders to communicate with new groups. Communication amongst new groups, such as when a leader takes over a new organization, may be a valuable consideration because communication could play a role in the process of "creating shared reality" and producing salient identities.[37]

E.   LIMITATIONS

This study takes a broad look at the social identity approach and its applicability to collaborative behavior. Evidence of the spectrum of the social identity approach includes its applicability to a multitude of topics and to various areas such as organizational psychology, clinical and health psychology, linguistics, political science, and theology.[38] Therefore, constraining the wide limits of the social identity approach is an important part of the research.

Although the underlying principles of the social identity approach will be broadly applied, the scope of the study is constrained by focusing on communication to build collaborative capacity. Research studies in 1973 and 1991 showed that managers spend approximately 70 to 90 percent of their time communicating.[39] These studies were completed before technological advances such as cellular telephones and email; however, the need for leaders to communicate and importance of communication deserves the focused study of this thesis. The scope of the study will be limited by focusing on general communication skills a leader may use to build collaborative capacity by applying the social identity approach to leadership.

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[37] Betty A. Farmer, John W. Slater, and Kathleen S. Wright, "The Role of Communication in Achieving Shared Vision Under New Organizational Leadership," *Journal of Public Relations Research* 10, no. 4 (1998): 219-235, doi: 10.1207/s1532754xjprr1004_01, 220.

[38] Haslam, *Psychology in Organizations.*

[39] Barrett, "Strong Communication Skills a Must for Today's Leaders."

The scope of the study, being limited to communication, will also be constrained by use of the social identity approach. As a framework, the social identity approach will provide the context for the communication principles developed from the research. This will further constrain the study into a set of communication principles, which could influence group behavior and decision-making. The importance of using the social identity approach as a framework is that communication is an integral part of the processes that affect group behavior. In the book, *Psychology in Organizations: The Social Identity Approach,* S. Alexander Haslam writes, "Without communication there could be no leadership, no motivation, no decision making, no negotiation, no power."[40] In summary, the study is limited to communication principles a public sector leader may use to build collaborative capacity that are based on tenets of the social identity approach.

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[40] Haslam, *Psychology in Organizations,* 80.

II.   LITERATURE REVIEW

Collaboration in the public sector has been studied and deemed to be an important concept in public sector management. However, in reality, collaboration seems difficult to accomplish. This is due, in part, to collaboration being a largely behavioral concern. Collaboration allows public organizations to deal with complex, unanticipated issues, which transcend jurisdictional boundaries. Although collaborative public management is a recognized area of study, it is not well defined, existing in a realm between two areas of significant research from hierarchies on one end, to networks on the other. Therefore, a framework based on the social identity approach may allow an accounting of the behavior of individuals in an environment, which necessitates collaboration, and may therefore further the study of collaborative public management and positively impact the ability of government to deal with homeland security issues.

The social identity approach is a lens through which groups can be viewed in an attempt to ascertain the motivators that drive the decision-making of group members.[41] The social identity approach includes cognitive, evaluative, and emotional elements, which can diagnose group behavior. The human factor of organizations is non-technical and therefore more difficult to influence when compared to other, more tangible concepts such as organizational structure or policies. Public sector leaders spend a large majority of their time communicating.[42] Therefore, communication techniques, which build a group's collaborative capacity, may be valuable as a leadership skill.

The literature review will address major areas related to defining collaborative public management and communicating to both build collaborative capacity and foster collaboration between individuals which may or may not be a part of the same organization. First, the psychological approaches to group behavior will be summarized. This will include the two theoretical foundations for the social identity approach: the

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[41] Naomi Ellemers, Dick De Gilder, and S. Alexander Haslam. "Motivating Individuals and Groups at Work: A Social Identity Perspective on Leadership and Group Performance," *The Academy of Management Review* 29, no. 3 (July 2004): 459-478, doi: 00.5465/AMR.2004.13670967.

[42] Haslam, *Psychology in Organizations.*

social identity theory and self-categorization theory, in addition to other approaches and why they may not be as effective. Second, the research surrounding collaborative public management will be summarized to identify the gaps related to the definition of collaboration. Finally, communication as a leadership skill will be generalized. The literature review shows that a synthesis of collaboration, the social identity approach, and communication is a valuable and rich area of research, which could benefit public sector leaders.

A.   PSYCHOLOGICAL APPROACHES TO GROUP BEHAVIOR

The psychological approaches to group behavior are generally differentiated based on the social-contextual dimensions of organizational behavior and analysis of psychological processes. In more simple terms, the approaches to group behavior and decision-making have focused on the role of social pressures and the individual psychological processes in the mind of a group member. Three paradigms including the human relations paradigm, economic paradigm, and individual differences paradigm have been studied as possible explanations of individual behavior in a group. However, each paradigm is imbalanced either as too focused on the social-context or too focused on the individual psychological process.

The human relations paradigm is highly focused on the "mechanisms that created group solidarity and appropriate group norms."[43] In short, it is too focused on the influence of social context. The human relations paradigm looked at the ways in which individual differences were transformed into group similarity. The human relations paradigm argued that "organized behavior shaped by group membership and group interests was the rule, not the exception, and that individuals acted in terms of their personal self-interest only when social association failed them."[44] The argument of the human relations paradigm disagreed with more individual approaches such as the economic paradigm and individual differences paradigm.

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[43] Haslam, *Psychology in Organizations,* 11.

[44] Ibid*.,* 11.

The economic paradigm of organizational behavior framed its argument around the "disapproval of human and financial waste."[45] The economic approach looked to scientifically, almost mechanistically, align workers with tasks. The economic paradigm considers workers as resources, which can be managed scientifically in order to maximize efficiency. It focused on the individual in that managing workers and the work they did could be relegated to an exact science. The theory posited that a single best way to complete a particular work task could be found. The economic paradigm was based significantly on the scientific management theories of Frederick Taylor. The second principle of the scientific management theory was scientifically selecting, training, teaching, and developing a worker.[46] This second principle was the basis of the individual differences paradigm.

The individual difference paradigm, like the economic paradigm, focused on the individual. This paradigm focused on the need to study individual motivations. For example, researchers felt it may be necessary to study the motivators which would lead to individual workers participating in the scientific management process of the economic paradigm.[47] Although the economic paradigm and individual differences paradigm were related, the biggest difference between the two was that the economic paradigm considered groups to be impediments to performance while the individual differences paradigm recognized that "groups could make psychological contribution to the workplace by enhancing the consciousness of solidarity" among workers.[48] In short, the individual differences paradigm gave rise to the thought that organizational psychology could be studied.

The evolution of organizational psychology from the paradigms discussed above, led to the literature available on organizational psychology. In reviewing the literature, it becomes apparent that although there were underpinnings of group dynamics and behavior in the literature, the research tends to "bash on with an individualistic approach"

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[45] Haslam, *Psychology in Organizations,* 4.

[46] Ibid., 3.

[47] Ibid.

[48] Ibid*.,* 7.

regardless of the recognition of the importance of the group.[49] The introduction of research based on social context which merges with individual psychological processes gives rise to the social identity approach to organizational behavior.

B. THE SOCIAL IDENTITY APPROACH

The perspective that social identity can impact leadership, group performance, and organizational behavior is based on the hypothesis that "workers are not necessarily driven by personal considerations only; instead individual motivation is projected on, informed by, and adapted to the needs, goals, expectations, or reward of the team or organization in which individuals work."[50] This is the proposition upon which this thesis builds. The conclusion that group behavior can be driven by both individual psychological processes and intergroup influences makes up the gist of the social identity approach.

The social identity approach, because it looks both at the group and at the individual, is based in two intersecting theories. The first is the social identity theory and the second is self-categorization theory. The literature surrounding the theories is rich with information that can be valuable to communication by leaders and public sector collaboration.

1.   The Social Identity Theory

The social identity theory is a framework, which can psychologically analyze the effect of an individual person's identification with a group including the impact of belonging to a particular group, the processes used by the group, and the group's relationship with other groups.[51] Each of these areas is important to the social identity approach. Therefore, the discussion of social identity theory will begin with the importance of groups, the role of social identification in leadership, and then will move to

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[49] Haslam, *Psychology in Organizations,* 13.

[50] Ellemers, De Gilder, and Haslam. "Motivating Individuals and Groups at Work," 459.

[51] Michael A. Hogg and Scott A. Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," *Communication Theory* 16, no. 1 (March 2006): 7-30, doi: 10.1111/j.1468-2885.2006.00003.x.

the research concerning the polarization of separate groups and the impact of intergroup relations on decision-making.

The social identity theory is based on how individuals relate to social groups and an individual's self-perception that leads to the identification with group characteristics, which then become self-descriptive.[52] The theory's merits are based on the hypothesis that self-construal and the relationship with others with which one identifies, becomes a powerful motivating factor in decision-making and thus behavior. The literature commonly focuses on group behavior, and therefore the decision-making that takes place within a shared understanding of group norms.

One of the overarching concepts of social identity theory is the group. A group is "two or more individuals who share a common social identification of themselves or, which is nearly the same thing, perceive themselves to be members of the same social category."[53] This means self-identification not only involves an individual self-perception, but also includes the cognitive definition of self in relationship to groups. Groups are vastly different including variances in multiple areas such as size, objective, and age. The largest defining factors of a group are therefore common goals, interdependence, and the sharing of consequences for their decision and behavior.[54]

The social identity theory not only describes a framework for group behavior, but the theory's analysis of intergroup dynamics also provides information about why particular groups may not want to work with other groups which are dissimilar. Social identity theory concludes that groups not only aim for similarity within their group, but they also seek to differentiate themselves from out-groups.[55] Therefore, the literature not only indicates the positive aspects of social identity, but also negative aspects, which may impede intergroup communication and collaboration.

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[52] Ellemers, De Gilder, and Haslam. "Motivating Individuals and Groups at Work."

[53] John C. Turner, "Towards a Cognitive Redefinition of the Social Group," In *Social Identity and Intergroup Relations,* ed. Henri Tajfel (Cambridge: Cambridge University Press, 2010).

[54] Michael A. Hogg, "Social Identity Theory," in *Contemporary Social Psychological Theories* ed. Peter James Burke (Stanford: Stanford University Press, 2006).

[55] Ibid., 122.

The literature discusses the relationships between groups and this is a valuable part of the social identity framework because it includes the recognition of social belief structures. Social belief structures deal directly with intergroup relations, specifically the strategies and the effectiveness of those strategies to "achieve or maintain positive intergroup distinctiveness."[56] Social belief structures are rooted in five key components including the beliefs concerning the status of a group relative to an out-group, how stable the status relationship is, how legitimate the relationship is, how permeable the relationship is, and whether an alternative status quo is conceivable and achievable.[57] While considering the collaborative capacity of one group with another during specific circumstances, these belief structures become important because groups may enter a collaborative with distinct group identification and managing such distinctiveness could have an impact on collaboration.

The social identity theory and the accompanying approach to analyzing behavior based on in-group/out-group processes has proven to give valuable insight when dealing with complex systems of relationships. The limitation to the social identity theory is it does not thoroughly analyze the "cognitive processes associated with social identity salience."[58] Simply put, the social identity theory does not deeply consider why people define themselves with one group and not another. This is where self-categorization theory becomes beneficial and a significant part of the social identity approach.

2. Self-Categorization Theory

Self-categorization theory is closely related to the social identity theory and is considered "as part of the same theoretical and metatheoretical enterprise."[59] Self-categorization theory fills the gaps in the social identity theory because it does not focus solely on "social structure and intergroup relations," but looks to why social identities

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[56] Hogg, "Social Identity Theory," 122.

[57] Ibid.,123.

[58] Haslam, *Psychology in Organizations*, 28.

[59] Michael A. Hogg, Deborah J. Terry, and Katherine M. White, "A Tale of Two Theories: A Critical Comparison of Identity Theory with Social Identity Theory," *Social Psychology Quarterly* 58, no. 4 (December 1995): 255-269, 259.

become salient and the impact of social identity on a person's psychology.[60] The self-categorization theory describes why an individual's mind makes two things possible. First, why an individual's mind allows human beings to be social animals and second, why there is a social impact on an individual.[61] Self-categorization theory examines the development of cognitive forces that "cause people to identify with groups, construe themselves and others in group terms, and manifest group behavior."[62]

The ability to categorize the "self and others into in-group and out-group" is where the cognitive ability of a person becomes important.[63] Self-categorization theory is broader than social identity theory because the "core hypotheses are not targeted specifically to issues of social structure and intergroup relations."[64] This allows for theoretical consideration of the individual psychological processes. It therefore allows for a "greater explanatory scope" and can "encompass most of the social structural phenomena addressed within social identity theory."[65] However, the social identity theory and self-categorization theory are used to handle slightly different issues.

The result of looking at both the social identity theory and self-categorization theory to develop the social identity approach is that analysis of both the external, social forces and internal, psychological forces can be analyzed so that a set of congruent principles may be developed that could allow a public sector leader to impact collaboration.

3. Summary of the Social Identity Approach

In summary, both the social identity theory and self-categorization theory are parts of the social identity approach. Fundamental components of the social identity

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[60] Haslam, *Psychology in Organizations*, 29.

[61] John C. Turner and Katherine J. Reynolds, "Self-Categorization Theory," in *Handbook of Theories of Social Psychology: Volume II*, ed. Paul A. M. Lange, Arie W. Kruglanski, and E. Tory Higgins (Los Angeles: Sage, 2012).

[62] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms."

[63] Hogg, Terry, and White, "A Tale of Two Theories."

[64] Haslam, *Psychology in Organizations*, 29.

[65] Ibid., 29.

approach including groups, prototypes, leadership, and intergroup relationships all appear to apply to the collaboration that must occur between disparate groups when responding to homeland security issues. Therefore, research on social identity and collaborative public management could be synthesized in order to establish a better understanding of collaborative public management in homeland security through a definition of collaboration based on the social identity approach.

The conceptual components of the social identity approach have different explanatory functions and can focus on different parts of group membership and group life.[66] As group identity becomes prominent, evaluations of other people shifts from an individual level to a social level through "prototype-based" depersonalization. Within the context of the social identity approach, prototypes are the set of attributes such as perceptions, attitudes, feelings and behaviors that capture similarities within the group.[67] The understanding of prototypes is an important aspect of social identity because it provides a lens through which a group can be analyzed because the prototype describes the "ideal" group member. Although much attention is placed on the group member, the social identity approach is not only valuable to understand how peers and subordinates relate within a group, but also provides value to the study of leadership.

The identification of a prototypical group member also applies to leadership attributes within a group. Specifically, when people identify strongly with a group, those members that are more prototypical, which means they embody more of the group's identifying factors, are recognized as having more influence within the group.[68] Generally, the social identity approach allows leadership to be viewed as a group phenomenon.[69] This becomes valuable in considering leadership within the context of situations and therefore could also be of value when discussing the role of leadership when collaboration is needed to deal with particular circumstances. Leadership can therefore be viewed as a process, which develops through mechanisms related to the

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[66] Hogg, "Social Identity Theory," 115.

[67] Ibid., 118.

[68] Ibid., 125.

[69] Ellemers, De Gilder, and Haslam. "Motivating Individuals and Groups at Work."

social identity approach such as "social categorization and prototype-based depersonalization."[70] Principles of both theories are used in the analysis of groups and are exemplified in Figure 1.[71]
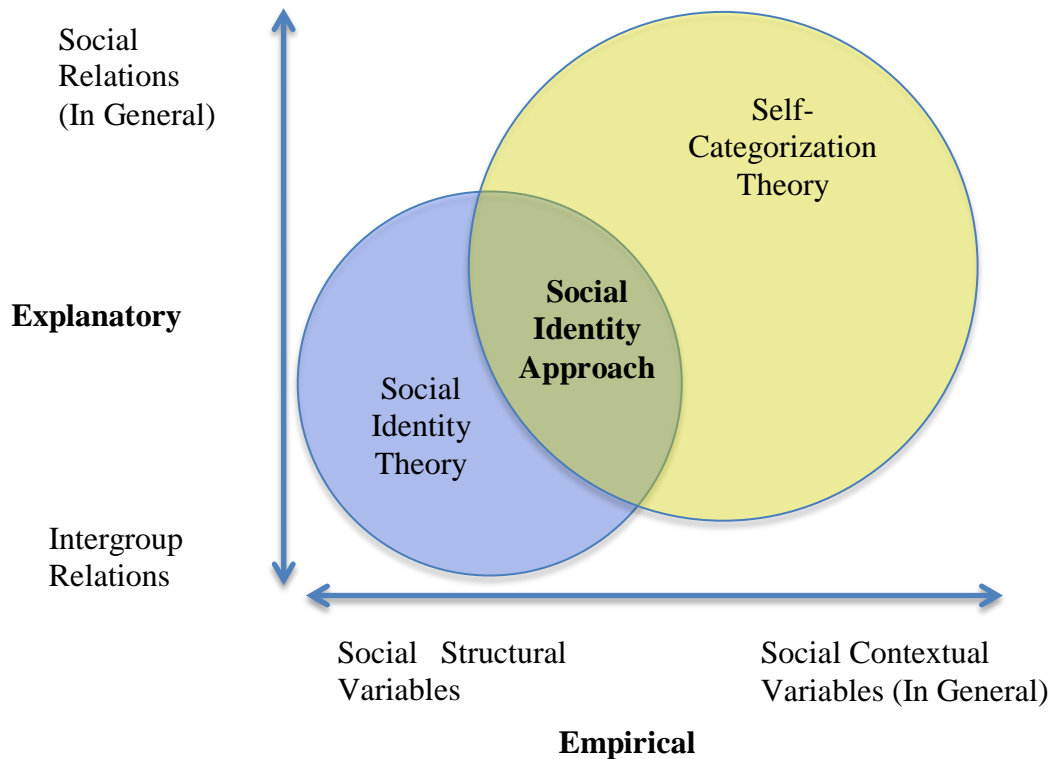
Figure 1.   Graphical Representation of the Social Identity Approach

The figure above is representative of the social identity approach and the blending of both explanatory literature and empirical research surrounding the topics of the social identity theory and self-categorization theory. An example of the empirical research on social structures is Milgram's experiment in 1974 where he wanted to determine the willingness of participants to obey authority and perform acts which may be against their

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[70] Michael A. Hogg, "A Social Identity Theory of Leadership," *Personality and Social Psychology Review* 5, no. 3 (2001): 184-200.

[71] Haslam, *Psychology in Organizations,* 29.

own personal wants.[72] Milgram posited that the subjects would shock a victim, not because they wanted to, but because they were stuck in the social structure without any means to exit.[73] Social context is farther from the social identity theory along the spectrum, but is still an example of empirical research. Social context is a broader view of a group, not just the structure of the group itself. For example, in Milgram's experiment, the structure was theorized as having an impact on behavior. However, if behavior is impacted by multiple identifications, this would qualify as social context.[74] Similar to the empirical research, there is a spectrum of explanatory literature. Closest to the social identity theory is research on intergroup relations. The subject matter of intergroup relations is "large-scale social category memberships such as nationality, class, sex, race or religion."[75] Social relations seeks to explain "the definition of self attributed to individuals in and through" their relationships with groups.[76]

C.   COLLABORATION

The study of management in the public sector has been a progression of organizational theory which began with a classical view focused on the internal structure and working of bureaucracy.[77] The view of public sector management began with a fundamental model of organizational structure that focused on division of labor, span of control, and a cost-benefit analysis of alternatives to deal with specific tasks.[78] Examples of this theory include public agencies such as fire departments, police departments, and public utilities because they are organized around specific functions and therefore deal with problems, which are directly related to their functions.

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[72] Stephen Reicher, "The Determination of Collective Behaviour," In *Social Identity and Intergroup Relations,* ed. Henri Tajfel (Cambridge: Cambridge University Press, 2010).

[73] Reicher, "The Determination of Collective Behaviour," 61.

[74] Sik Hung Ng, "Power and Intergroup Discrimination," In *Social Identity and Intergroup Relations,* ed. Henry Tajfel (Cambridge: Cambridge University Press, 2010).

[75] Turner, "Towards a Cognitive Redefinition of the Social Group."

[76] Jean-Claude Deschamps, "Social Identity and Relations of Power Between Groups," in *Social Identity and Intergroup Relations,* ed. Henri Tajfel (Cambridge: Cambridge University Press, 2010), 90.

[77] Max Weber, "Bureaucracy," in *Public Administration Concepts and Cases,* ed. R. J. Stillman II (Boston: Houghton Mifflin Company, 2005).

[78] Luther Gulick, "Notes on the Theory of Organization," in *Papers on the Science of Administration*, ed. Luther Gulick and L. Ulrich (New York: Institute of Public Administration, 1937).

The theories on formal organizational structures and relationships to deal with specialized problems were the foundational basis for public management.[79] Although public management theories are rooted in formal structure and scientific management, there have been academic studies and debates, which argue, "in the face of complexity and multiple competing demands…a single blunt instrument – like structure – is unlikely to prove the master tool that can change organizations with the best effect."[80] Researchers have argued that a "top-down" management structure is not very productive when dealing with complex issues.[81] The thesis that rigid structure is unable to provide the framework to ensure effective performance resulted in a focus on networks.

Postmodern theories concerning networks steer away from "narrow, technique-oriented scientism and toward democratic openness" with a focus on reinventing public governance.[82] The reinvention of government has been a mantra of recent presidents including President Clinton's intent "to redesign, to reinvent, to reinvigorate the entire national government" and President G. W. Bush's goal to "create a market-based government unafraid of competition, innovation, and choice."[83] In essence, the research on networks concluded that networks are not hierarchical, rely on horizontal links as opposed to vertical, and were self-regulated.[84]

Research on networks has resulted in a generalized understanding of what networks mean to public management. Networks have lineage in multiple theories;

[79] Donald Kettl, "Contingent Coordination: Practical and Theoretical Puzzles for Homeland Security," *The American Review of Public Administration* 33, no. 3 (September 2003): 253-277, doi: 10.1177/0275074003254472.

[80] Robert Waterman Jr., Thomas Peters, and Julien Phillips, "Structure is Not Organization," *Business Horizons* 23, no. 3 (June 1980): 14-26, 16.

[81] Walter Kickert, Erik Klihn and Joop Koppenjan, *Managing Complex Networks* (London: Sage Publishing, 1997).

[82] Hugh T. Miller and Charles J. Fox, *Postmodern Public Administration* (Armonk, NY: M.E. Sharp, Inc., 2007).

[83] Al Gore, "Creating a Government That Works Better & Costs Less: Report of the National Performance Review," In *Classics of Organizational Theory* ed. J. Shafritz, J. Orr, and Y. Yang (Boston: Thomson Wadsworth, 1993).

[84] Donald P. Moynihan, "Combining Structural Forms in the Search for Policy Tools: Incident Command Systems in U.S. Crisis Management," *Governance: An International Journal of Policy, Administration, and Institutions* 21, no. 2 (April 2008): 205-229, doi: 10.1111/j.1468-0491.2008.00395.x.

however, the research generally points to linkages between actors that can cross functions, organizational boundaries, and geographic boundaries.[85] The purpose of the linkages in a network is to accomplish tasks without the "top-down authority that occurs within one organization."[86] Networks, relative to public management, are therefore more fluid than hierarchies and allow agencies to accomplish tasks they would not be able to accomplish on their own.

In summary, the research on networks separated them distinctly from hierarchies. The body of research on networks generalizes that networks "have distinct management characteristics and different challenges" when compared to hierarchies.[87] Hierarchies are structured to deal with specific issues suited for functionally organized agencies and networks are understood as being distinctly different from hierarchies in that they are "flexible structures that are inclusive, information rich, and outside the scope of direct bureaucratic control."[88] The progression of academic study related to public management has tended to indicate that collaborative public management is a relatively new occurrence following a lengthy focus on formal organizational structure and networks.[89]

1.   Collaborative Public Management

Researchers suggest that there are two reasons collaboration is emerging as a public management topic. First, researchers propose that governance is in a new era of openness and complexity requiring a different form of public management than top-down decision-making structures, such as hierarchies, and purely informal networks, which do

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[85] Myrna P. Mandell and Toddi A. Steelman, "Understanding What can be Accomplished Through Interorganizational Innovations: The Importance of Typologies, Context, and Management Strategies," *Public Management Review,* 5, no. 2 (2003): 197-224, doi: 10.1080/1461667032000066417, 201.

[86] Ibid., 202.

[87] Moynihan, "Combining Structural Forms in the Search for Policy Tools," 205.

[88] Kimberly Isett, Ines Mergel, Kelly LeRoux, Pamela Mischen, and R. Karl Rethemeyer, "Networks in Public Administration Scholarship: Understanding Where We Are and Where We Need to Go," *Journal of Public Administration Research and Theory* 21, no. S1 (2011): i157-i173, doi: 10.1093/jopart/muq061, i159.

[89] Michael McGuire, "Collaborative Public Management: Assessing What We Know and How We Know It," *Public Administration Review* 66, no. S1 (November 2006): 33-43, doi: 10.1111/j.1540-6210.2006.00664.x.

not have centralized accountability.[90] Second, researchers have argued that public management is changing because public organizations are becoming less independent, counting on other agencies for assistance in completing tasks. The interdependency results in a change in how leaders must conduct themselves.[91] In essence, the shift in public management toward collaboration is partially the result of the increased accessibility to information and openness of government agencies, processes, and policies while also requiring a viable method of accountability. This results in a need for leaders to conduct themselves differently because they do not have the formal power provided in purely hierarchical structures, and they need information to flow vertically and horizontally to make decisions about complex problems.

Collaborative public management has developed out of the necessity to deal with problems, which transcend single agencies. Traditional problem solving methods of hierarchy and bureaucracy, where a single agency was responsible for dealing with a specialized problem, may not be effective for solving complex problems where multiple organizations need to work together.[92] Furthermore, networks which can be completely flat and self-organizing may be missing a critical steering component where a leader or lead organization can act as "system controller or facilitator."[93]

The literature on collaborative public management recognizes a number of features, which characterize collaboration among multiple agencies.[94] Eugene Bardach, in his book *Getting Agencies to Work Together,* summarizes this argument when he observes collaborative capacity "is very much like an organization in its own right"[95] because the ability of organizations to work together includes similar characteristics such

[90] Goldsmith and Eggers, *Governing by Network.*

[91] Kettl, *Sharing Power.*

[92] Edward P. Weber and Anne M. Khademian, "Wicked Problems, Knowledge Challenges, and Collaborative Capacity Builders in Network Settings," *Public Administration Review* 68, no. 2 (March/ April 2008): 334-349, doi: 10.1111/j.1540-6210.2007.00866.x.

[93] McGuire, "Collaborative Public Management," 36.

[94] Laurence O' Toole, "The Implications for Democracy in a Networked Bureaucratic World," *Journal of Public Administration Research and Theory* 7, no. 3 (1997): 443-459.

[95] Bardach, *Getting Agencies to Work Together*, 21.

as formalization, specialization, and coordination.[96] Collaborative structures can therefore have rules, procedures, and processes, which govern their activities, but can also develop a culture with shared values and beliefs even though multiple agencies may be participating.[97]

2. Collaborative Public Management in Homeland Security

Collaborative public management could be used to address distant and unanticipated issues faced by public agencies with homeland security responsibilities.[98] The research on collaborative management has generally pointed to management frameworks that exist in multiple settings and require both vertical and horizontal structures.[99] This means a leader who is managing a homeland security problem, such as disaster response, may have to manage across jurisdictions, across different organizational boundaries, and through formally recognized management structures simultaneously.[100] In essence, the problem for homeland security leaders is a need to have accountability and control while also allowing for collaboration.

A lack of control and absence of collaboration has resulted in failures by homeland security leaders. For example, the House Select Committee to Investigate the Preparation for and Response to Hurricane Katrina, found that public officials failed to be flexible by adapting existing plans to real-time circumstances, failed to sort out responsibilities, and failed to communicate effectively when responding to Hurricane Katrina.[101] The House Committee also pointed to issues with command and control during the response to Hurricane Katrina.[102] The House Select Committee's findings

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[96] McGuire, "Collaborative Public Management," 37.

[97] Ibid.

[98] John J. Kiefer and Robert S. Montjoy, "Incrementalism before the Storm: Network Performance for the Evacuation of New Orleans," *Public Administration Review* 66, no. S1 (December 2006): 122-130, doi: 10.1111/j.1540-6210.2006.00672.x.

[99] McGuire, "Collaborative Public Management."

[100] Ibid.

[101] United States House Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina, *A Failure of Initiative*.

[102] Ibid.

support the thesis that collaborative public management theories and research are developing in response to the benefits and shortcomings of hierarchies and networks. In essence, the findings of the House Committee are generally aligned with the two main problems with hierarchy and networks in public management: hierarchy is too structured and networks may limit efforts to coordinate an effective response.

The literature has exposed gaps in public management. The reality for homeland security leaders is that in collaborative management, "there is evidence to suggest that a blending of the two management approaches (hierarchies and networks) is not uncommon."[103] In a paper that Donald P. Moynihan presented to the American Political Science Association, he concluded that collaborating in response to a disaster could be effective using a system, which includes both hierarchical structures and a network approach to coordination, such as the incident command system (ICS).[104]

The ICS is a tool that allows leaders to maintain formal structure and command while collaboratively managing emergencies.[105] The ICS is a hierarchical organizing system, which allows for accountability to a single incident commander. The ICS also allows for the integration of "agencies at different levels of government" in order to respond to incidents involving disparate functional and geographic jurisdictions.[106] The ICS has been used to conduct collaborative responses in high profile incidents including the 9/11 attack on the Pentagon, the response to anthrax attacks, and the clean-up operations following the Space Shuttle Columbia disaster.[107] The ICS is used to respond to specific incidents and shows the value of collaboration; however, the use of collaborative public management in other areas of homeland security can also be valuable.

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[103] McGuire, "Collaborative Public Management," 36.

[104] Donald P. Moynihan, "The Use of Networks in Emergency Management," paper presented at the Annual Meeting for the American Political Science Association. September, 2005. Accessed August 10, 2014: http://convention2.allacademic.com/one/apsa/apsa05/ index.php?click_key=1&PHPSESSID=rf6afu2r736putq6ebl0825qf6.

[105] Waugh Jr. and Streib, "Collaboration and Leadership for Effective Emergency Management."

[106] Moynihan, "The Use of Networks in Emergency Management," 9.

[107] Ibid.

Research supports the use of collaborative management in homeland security because it indicates issues such as preparedness, counter-terrorism, and critical infrastructure protection requires the collaboration of multiple stakeholders.[108] In a 2007 research study, Chris Ansell and Alison Gash reviewed 137 cases of collaborative governance. Their research resulted in the finding that collaborative public management includes a "decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets."[109] In essence, collaborative public management requires both formal and informal relationships where collaboration occurs through blending "intelligent structural differentiation among subunits, formal hierarchical coordination, and informal working relationships."[110] In addition, the research literature has indicated, "there is no one best way to organize for collaboration."[111] Therefore, further research to clarify particular areas of collaborative public management may improve the value to homeland security.

D.   COMMUNICATION

Daniel Katz and Robert Kahn wrote an important book that discussed organizations as open systems. In *The Social Psychology of Organizations* Katz and Kahn argue that "communication – the exchange of information and the transmission of meaning – is the very essence of a social system of an organization."[112] Communication is recognized as impacting the function of a group,[113] but "relatively little is known about

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[108] Naim Kapucu, Tolga Arslan, and Fatih Demiroz, "Collaborative Emergency Management and National Emergency Management Network," *Disaster Prevention and Management* 19, no. 4 (2010): 452-468.

[109] Chris Ansell and Alison Gash, "Collaborative Governance in Theory and Practice," *Journal of Public Administration Research and Theory* 18, no. 4 (November 2007): 543-571, 544.

[110] Bardach, *Getting Agencies to Work Together*, 10.

[111] McGuire, "Collaborative Public Management," 36.

[112] Daniel Katz and Robert Kahn, *The Social Psychology of Organizations* (New York: Wiley & Sons, 1978), 428.

[113] John Gardener, Neil Paulsen, Cynthia Gallois, Victor Callan, and Peter Monaghan, "Communication in Organizations: An Intergroup Perspective," in *The New Handbook of Language and Social Psychology,* ed. W. P. Robinson & H. Giles (Chichester: Wiley, 2001).

the…role communication plays in"[114] changing group performance. However, there is solid information concerning communication with regard to importance, direction, function, content, and form.

Communication is important because it "plays a central role in organizations" even though it is a diverse area of study.[115] With regard to the field of homeland security, "a growing body of scholarship attests to the crucial roles that communication plays in successful crisis management."[116] In the classic public administration book from 1938, *The Functions of an Executive*, Chester Barnard wrote, "the first executive function is to develop and maintain a system of communication."[117] The importance of communication is a critical function of public sector leadership and flows in multiple directions.

In general, communication is a "process through which an organization sends a message across a channel to another part of the organization or to another organization in the network."[118] Communication therefore can flow top-down, bottom-up, horizontally between peers, horizontally from one group to another, and between multiple levels of separate organizations. The flow of communication is "critical for an organization's ability to remain effective in a dynamic disaster environment."[119] In addition to the multi-directional patterns communication may flow, communication can also serve multiple functions.

Internal communication, which flows downward, upward or laterally can be used for many purposes. Downward communication flows from supervisor to subordinate and

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[114] Farmer, Slater, and Wright, "The Role of Communication in Achieving Shared Vision Under New Organizational Leadership," 220.

[115] Tom Postmes, "A Social Identity Approach to Communication in Organizations," in *Social Identity at Work: Developing Theory for Organizational Practice* ed. S. A. Haslam, D. Van Knippenberg, M. J. Platow, and N. Ellemers (Philadelphia: Psychology Press, 2003), 81.

[116] James Garnett and Alexander Kouzmin. "Communicating throughout Katrina: Competing and Complementary Conceptual Lenses on Crisis Communication," *Public Administration Review* 67, no. S1 (December 2007): 171-188, doi: 10.1111/j.1540-6210.2007.00826.x, 171.

[117] Chester Barnard, *The Functions of the Executive* (Cambridge, MA: Harvard University Press, 1938), 226.

[118] Naim Kapucu, "Interagency Communication Networks During Emergencies," *American Review of Public Administration* 36, no. 2 (June 2006): 207-225, doi: 0.1177/027507400528060, 208.

[119] Ibid., 209.

usually relates directives, tasks, performance feedback, and providing a sense of mission.[120] Upward communication is also critical in groups because it "can carry a number of vital messages" including whether downward communication was received and understood, warnings about problems, and information about performance.[121] Lateral communication carried between peers allow for "task coordination, information sharing, multidisciplinary problem solving, and mutual emotional support."[122]

External communication takes place outside of the boundaries of organizations. It can also take the form of monologues or dialogues; however, there is more research in the literature about the monologue form of communication. This type of one-way communication is often seen as public information, provision of information to another organization without needing or wanting feedback, and media relations.[123] The literature on one-way, external communication focuses mostly on public relations including the public information model of communication where communication is "asymmetric" meaning that "they try to change the behavior of public but not of the organization."[124] Two-way dialogues that are external to organizations is a relatively newer area of research and literature.

The process of external, two-way, communication is more prevalent due to economic interdependence that "stimulates interaction among organizations," policy networks "though which political policy decisions are made," and the advent of technology that gives "greater access to information."[125] External dialogues can also be symmetric or asymmetric.

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[120] Katz and Kahn, *The Social Psychology of Organizations.*

[121] James L. Garnett, "Administrative Communication," In *Public Administration Concepts and Cases,* ed. R. J. Stillman II (Boston: Houghton Mifflin Company, 2005).

[122] Ibid., 263.

[123] Ibid.

[124] Ibid., 261.

[125] Ibid.*,* 263-264.

Asymmetric communication seeks to be more persuasive, attempting to change behavior of one group so that another group benefits.[126] Conversely, a symmetric approach to communication would seek to benefit both groups through "bargaining, negotiating, and strategies of conflict resolution."[127] Asymmetric and symmetric communication methods do relate to the social aspects of intergroup relationships. The basic notion of the two communication strategies is based in game theory that posits social relationships can be modeled as games of strategy. Overall, the literature on public sector communication has indicated the external communications that occurs between organizations is critical for collaboration.

In summary, communication can flow in a single direction, or multiple directions. Generally, this is understood as a monologue (one-way) or dialogue (two-way).[128] Communication is an important leadership skill and basic tenet of organizational performance. Communication is an important part of group dynamics and can act as a vessel for the transference of social constructions, which may have an impact on group behaviors such as collaborative capacity.

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[126] Priscilla Murphy, "The Limits of Symmetry: A Game Theory Approach to Symmetric and Asymmetric Public Relations," *Public Relations Research Annual* 3, no. 1-4 (1991): 115-131, doi: 10.1207/ s1532754xjprr0301-4_5, 118.

[127] Ibid., 119.

[128] Farmer, Slater, and Wright, "The Role of Communication in Achieving Shared Vision Under New Organizational Leadership."

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III.   METHODS

There are two objectives of this research. The first objective is to provide a clear definition of collaboration for the public sector leader. The second objective is to provide public sector leaders with concepts, principles, and a framework they may use to build collaborative capacity through communication. The research will focus on the theories concerning both public sector collaboration and the social identity approach. The ultimate objective is to develop a common language to define collaboration and then provide communication principles, which public sector leaders can use to build collaborative capacity. A common theoretical basis centered on the social identity approach transits through both objectives.

The core hypothesis is the importance of creating collaborative groups when interagency collaboration is necessary. Applying the social identity approach to the problem of collaboration in the public sector is valuable because it deals with individual behavior while part of a group. Organizations are systems that accomplish goals through group means. Considering an organization as a social system means behavior is coordinated through "roles, norms, and values."[129] The social identity approach, because it applies to group behavior, is a framework that can meet the two objectives of this research.

The first objective, to develop a more substantial definition of collaboration, will use concepts from the social identity approach to determine a firmer definition of collaboration. The social identity approach will be used to define collaboration order to develop a common language and basis for the second objective of providing public sector leaders with principles and a framework to communicate effectively in building collaborative capacity.

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[129] Katz and Kahn, *The Social Psychology of Organization,* 44.

A. SETTING AND PROCEDURE

The research will be a qualitative analysis. The focus of the research will be on human interactions in collaboration. The difficulty in understanding human behavior will require a process to examine the information needed to complete the research. The criteria for this research will be rigorous academic studies on collaboration, social identity theory, self-categorization theory, and communication. An appreciative inquiry into the social identity approach and public sector collaboration will be conducted to select the information.

Appreciative inquiry looks to change human systems through a "strength-based perspective."[130] Similarly, the social identity approach does not look at group forces causing "irrational, under motivated, and counterproductive" behavior.[131] Instead, the social identity approach challenges the concepts that group behavior could hinder results by suggesting that social identity "enables people to engage in meaningful, integrated, and collaborative" organizational behavior.[132] The ability for group cohesion to develop, communication to be effective, and collective action to take place are essentially desired products of group behavior. Appreciative inquiry, because it looks to the strengths of a theory, allows social identity to be viewed through a positivist lens. This indicates the social identity approach can be used to develop principles a leader may use to communicate in a way that builds collaborative capacity.

B. INSTRUMENTS

Academic research such as peer-reviewed articles and books will be the majority of the source data. Some of the literature contains original research and every attempt will be made to access the original studies in order to confirm and analyze the information. Sources from the following disciplines have been identified and it is

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[130] Frank J. Barrett and Ronald E. Fry, *Appreciative Inquiry: A Positive Approach to Building Cooperative Capacity* (Chagrin Falls, OH: Taos Institute Publications, 2005), 18.

[131] Haslam, *Psychology in Organizations,* 17.

[132] Ibid*.,* 17.

anticipated additional research will be available from these academic domains: psychology, sociology, public policy, management, leadership, and public administration.

The analysis will encompass the social identity approach, public sector collaboration, and communication. It is important to gain a general understanding of the social identity approach because the processes that drive group behavior must be established. The processes are important because they will be the common thread that will permeate through both public sector collaboration and types of communication that can build collaborative capacity.

C.   DATA ANALYSIS

The analysis will be conducted by following these steps:

(1)   Analyze each area of inquiry

      (i) Social identity approach

      (ii) Public sector collaboration

      (iii) Communication

(2)   Develop questions and focus that:

      (i) Uncovers the strengths of the social identity approach to:

            1. Group cohesion

            2. Shared vision

            3. Goals

            4. Decision-making

      (ii) Reveals public sector collaboration and synthesizes public sector collaboration with the strengths and concepts developed from the analysis of the social identity approach.

      (iii) Filters the research on intergroup and intragroup communication by leaders to those concepts that address similarities and

congruencies which permeate through the research on the social identity approach and collaboration.

(3)   Categorize the data and information established from the questions and focus on the social identity approach, public sector collaboration, and communication by taking a deductive approach, which will lead to understanding the "why" of group behavior and "how" to build collaborative capacity with that knowledge.

(4)   Identify the patterns and connections that link the three general areas of research in order to narrow the core ideas.
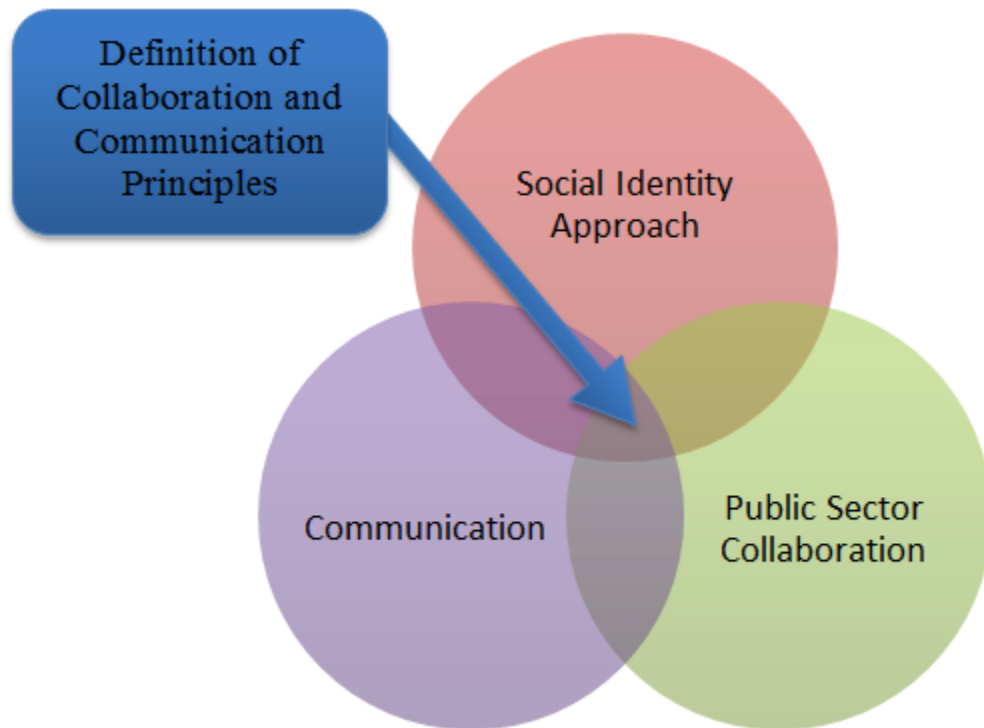
Figure 2.   Graphical Representation of Narrowing Research.

(5)   Interpret the data and information obtained in the research in order to find the correlations and intersections of the theories.

The goals in conducting this research and analyzing the information contained in the literature on the social identity approach, public sector collaboration, and leadership communication are to develop a definition of collaboration and communication principles. Both goals will use the social identity approach in order to use a common language. The common language will provide the public sector with a definition of collaboration, which is narrow enough to provide a shared vision. The communication principles will be based on social identity and therefore will provide leaders with tools to drive group behavior rather than merely watching group behavior develop. The application of this information will allow public sector leaders to be active participants in the development of group behavior and therefore actively build collaborative capacity.

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IV. COLLABORATION AS GROUP BEHAVIOR: THE SOCIAL IDENTITY APPROACH TO COLLABORATION

Collaboration is increasingly a part of multidisciplinary research. This thesis argues that there is vast research available on collaboration, yet there is still inconsistency in fully understanding collaboration as a group behavior. In addition, there is arguably a greater lack of coherence when considering intergroup relations as a defining factor in collaboration. Understanding the relationship of group behavior to collaboration is the first step in developing a coherent, rational, and consistent definition of collaboration that will be useful in developing communication principles which are valuable to public sector leaders.

Collaboration, as group behavior, begins with the notion that "human cognition is an interpersonal, as well as an intrapersonal, process."[133] The members of collaborative groups are able to use their individual ties to their respective organizations, then "transcend those ties to act collectively."[134] In essence, individuals identify with a group (their organization) then reacquire their identity within the collaborative group. The belonging and identification to separate groups (the home organization and the collaborative group) is a dilemma, which will impact collaboration. The social identity approach is valuable in analyzing the impact of this dilemma because group identity can impact individual decision-making. For example, if a proposed solution is good for the collaborative group, but not for the home organization, an individual may be less inclined to agree with the solution.

A. COLLABORATION AND THE SOCIAL IDENTITY APPROACH

Collaboration in the public sector is a broad concept because it can be applied to all levels of government, agencies with disparate missions, and in multiple situations from intelligence to emergency management. Because of the need to build a cohesive

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[133] John M. Levine and Richard L. Moreland, "Collaboration: The Social Context of Theory Development," *Personality and Social Psychology Review* 8, no. 2 (May 2004): 164-172, doi: 10.1207/s15327957pspr0802_10, 165.

[134] Hardy, Lawrence, and Grant, "Discourse and Collaboration."

group, sometimes in a short amount of time, and with group members who may have competing motivations and strong identities with other groups, the social identity approach is a valuable analytic source.

In order to understand the application of the social identity approach to collaboration, understanding the process of group formation is important. Public service professionals are much like other people who choose to join groups. They "join groups for functional reasons, particularly to carry out tasks."[135] The formation of groups to accomplish tasks fits directly with the concept of collaboration because representatives from multiple agencies join forces to reach a common goal. This is applicable to intelligence, emergency management, counter-terrorism, and other tasks related to the homeland security enterprise. The foundation of intergroup relations is "the basic process of categorizing the world and identifying individuals as belonging to different groups."[136] This is also the value of the social identity approach to public sector collaboration because ultimately, collaboration is group work and thus the social identity approach is applicable to understanding how groups operate.

The social identity approach is normally considered as an approach to analyzing "intergroup relations between large-scale social categories, which rests on a cognitive and self-conceptual definition of the social group and group membership."[137] The social identity approach is also applicable to any social group, which is defined as "a collection of more than two people who have the same social identity – they identify themselves in the same way and have the same definition of who they are, what attributes they have, and how they relate to and different from specific outgroups."[138] The social identity approach can be applied to building collaborative capacity within an organization, and

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[135] Fathali M. Moghaddam, *Multiculturalism and Intergroup Relations* (Washington, DC: American Psychological Association, 2011), 27.

[136] Moghaddam, *Multiculturalism and Intergroup Relations,* 29.

[137] Michael A. Hogg et al., "The Social Identity Perspective: Intergroup Relations, Self-Conception, and Small Groups," *Small Group Research* 35, no. 3 (June 2004): 246-276, doi: 10.1177/ 1046496404263424, 246.

[138] Ibid., 251.

when attempting to collaborate amongst agencies because of the human interaction which must take place.

In general, the social identity approach argues that group behavior is better explained as a psychological, rather than physical event.[139] Collaboration as a cognitive phenomenon can be explained through both social categorization and identification. Rather than an individual giving up their self-identity to be part of a group, the social identity approach contends that an individual does not "de-individualize" but rather adopts a group identity. The value in the social identity approach is it helps explain how an individual does not lose their identity but switches from a personal to social identity and therefore it could describe how an individual behaves within the group.[140] The key to collective action, and therefore collaboration, is that the social identity must be pertinent to the individual. It is not a loss of a person's identity, but rather the person's shift to the social identity of the group that is the power in the social identity approach.

The role of social identity in collaboration is one of *conformity*. That is "how the individual is influenced by groups" and the process of that influence.[141] The collective identity of the group is therefore important to how an individual will behave and thus if that individual will collaborate with others. It is a connection that is built between individuals and covers cognitive, moral, and emotional relations.[142]

In order to apply the social identity approach to collaboration, collaboration must be understood as both intergroup behavior and intragroup behavior. The two areas, intergroup behavior and intragroup behavior are theoretically inseparable when considering collaboration and building collaborative capacity in the public sector. Intergroup behavior is considered "the way in which people behave towards one another as members of different social groups."[143] Intergroup behavior is important because

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[139] Hogg and Abrams, *Social Identifications*, 149.

[140] Ibid.,153.

[141] Ibid.,158.

[142] Cristina Flesher Fominaya, "Collective Identity in Social Movements: Central Concepts and Debates," *Sociology*. 4, no. 6 (June 2010): 393-404, doi: 10.1111/j.1751-9020.2010.00287.x, 394.

[143] Hogg and Abrams, *Social Identifications*, 32.

conflict can arise from the differences that are believed to exist between people that are categorized into different groups.[144] Intragroup behavior is important because the dynamics which exist within small groups include how individuals interact, how groups are created, how decisions are made, and how norms are constructed.[145]

1.   Intergroup Behavior

Intergroup behavior is "the way in which people behave towards one another as members of different social groups."[146] Interagency collaboration occurs when people "work across agency and program lines."[147] The ultimate result is, "collaborators benefit from having the discretion to solve public problems in creative ways—for example, by sharing critical information and resources with one another."[148] Therefore, collaborators end up working with groups that could be considered as outside their normal group relationships. This is where applying strategies for intergroup relations based on the social identity approach could be valuable.

Applying concepts from the social identity approach provides enlightenment regarding the barriers to collective action and issues that may arise during interagency collaboration. When members of collaborating agencies attempt to work with other agencies, and in-group/out-group dynamic could develop which results in one group viewing the other group as "threatening and power-seeking."[149]

The relationship of power to in-group/out-group behavior is important when attempting to discern the applicability to interagency collaborative groups. First, if one member perceives themselves as subordinate, the power relationship must be maintained in such a way that the subordinate member does not feel the costs of remaining in the

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[144] Hogg and Abrams, *Social Identifications.*

[145] Ibid.

[146] Ibid*., 32.*

[147] Stephen Page, "Measuring Accountability for Results in Interagency Collaboratives," *Public Administration Review* 64, no. 5 (September 2004): 591-606, doi: 10.1111/j.1540-6210.2004.00406.x, 591.

[148] Page, "Measuring Accountability for Results in Interagency Collaboratives," 591.

[149] Hogg and Abrams, *Social Identifications,* 34.

subordinate position is too great.[150] If the power relationship is not maintained appropriately, the subordinate member may find a way to exit the relationship or "restructure the relationship," which could result in ineffective or non-existent collaboration.[151] This negative connotation of power in relation to in-group/out-group behavior is an important concept because the role of power to create positive relationships is important when considering types of communication to use in order to build collaboration amongst disparate agencies.

The social identity approach hinges strongly on the self-categorization process and therefore an individual's perception of power is pertinent to the discussion of interagency collaboration as an intergroup process. The use of power "on behalf of" others is rooted in social identity.[152] Normally, there is a negative connotation regarding power and its relationship to intergroup behavior. Therefore, it is imperative to consider power in a way that intergroup collaboration can benefit.

Regarding the social identity approach, power should not be considered as something that needs to be redistributed, but rather the perception of power is impacted by "recategorization of self."[153] In a 1985 study conducted by Itesh Sachdev and Richard Bourhis, the researchers found that, "subordinate group members were generally less discriminatory than dominant group members" and "no power group members were the least discriminatory, displaying less discrimination than absolute, high and equal power group members on all measures."[154] This agrees with concepts of interagency collaboration in the United States because all levels of government and the agencies within those respective levels must "be able to discern and anticipate which

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[150] Haslam, *Psychology in Organizations,* 144.

[151] Ibid., 144.

[152] Ibid*.,* 152.

[153] Ibid*.,* 153.

[154] Itesh Sachdev and Richard Y. Bourhis, "Social Categorization and Power Differentials in Group Relations," *European Journal of Social Psychology* 15, no. 4 (October/December 1985): 415-434, doi: 10.1002/ejsp.2420150405.

functions…are supposed to take priority in a given situation."[155] This is a question of power related to group belonging. Collaboration may ultimately depend on which identity drives the decision-making of a group member.

Collective action is required in order to collaborate on solving a problem or responding to a situation. Collective action can be positively generated when a collective identity is established.[156] Collaboration occurs after a group is established and works toward a common goal, in essence collectively working as an in-group. The value of the social identity approach in helping leaders understand intragroup behavior can impact the collective action of a newly established group.

2. Intragroup Behavior

Intragroup behavior is what takes place within groups that ultimately drives the group's behavior. Specific to the social identity approach, intragroup behavior "refers to interaction between two or more individuals that is governed by a common or shared social self-categorization or social identity."[157] One of the main components of intragroup behavior is the role of group norms.

Group norms are "regularities in attitudes and behavior that characterize a social group and differentiate it from other social groups."[158] Applying this concept to a collaborative group allows "social cognitive and social interactive processes that influence" behavior to be considered.[159] Norms are important because they have a significant role in dictating intragroup activity, agreements, and action.[160]

Groups may form in order to meet a particular functional requirement that requires collaboration; however, norms within the group allow members to share

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[155] Charles R. Wise and Rania Nader, "Organizing the Federal System for Homeland Security: Problems, Issues, and Dilemmas," *Public Administration Review* 62, no. s1 (September 2002): 44-57, doi: 10.1111/1540-6210.62.s1.8, 44.

[156] Fominaya, "Collective Identity in Social Movements," 393.

[157] Hogg and Abrams, *Social Identifications*, 93.

[158] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 7.

[159] Ibid., 7.

[160] Hogg and Abrams, *Social Identifications*, 110.

"patterns of thought, feeling, and behavior."[161] This impacts collaboration as a group behavior, and more specifically, the role of communication in collaborative groups. To be more precise, norms can be impacted by "what people do and say" while norms can also affect how people communicate.[162] Intragroup behavior is largely formed by the norms of the group and the perception of norms, diffusion of norms through the group, and differential influence on group norms.

Perceiving the norms of the group occurs mostly through the direct transference of information through what is said and members' actions.[163] The perception of norms is more accurate when identity is salient, which means group members more strongly identify with the group.[164] The diffusion of norms refers to the formation of norms throughout the group.[165] In *The Robbers Cave Experiment: Intergroup Conflict and Cooperation,* Sherif's experimentation allowed norms to be viewed as they developed and he noted that norms diffused throughout in-groups. This included the impact of the status of particular group members.[166] The differential influence on group norms pertains to the reasoning that "some people have more influence than others over the life of the group and on the configuration of group norms."[167] This is important for leaders to understand because they must be cognizant of their role in establishing and enforcing group norms in addition to recognizing others in the collaborative group that can have an impact on the norms. Norms will ultimately dictate whether or not the group will collaborate and to what extent.

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[161] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 8.

[162] Ibid., 8.

[163] Ibid., 15.

[164] Deborah J. Terry and Michael A. Hogg, "Group norms and the attitude-behavior relationship: A role for group identification," *Personality and Social Psychology Bulletin* 22, no. 8 (August 1996): 776-793.

[165] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 17.

[166] Muzafer Sherif et al., *The Robbers Cave Experiment* (Middletown, CT: Wesleyan University Press, 1988).

[167] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 19.

The role of intergroup and intragroup behavior in collaboration is important. Intergroup behavior is important when dealing with collaborative groups that will be made up of members who may enter the group with salient social identities related to their home agencies or other groups that they feel a strong connection to. Intragroup behavior becomes important when establishing a collective identity for a collaborative group and attempting to create a salient social identity that emphasizes collaborative behavior.

B. DEFINING COLLABORATION WITHIN THE CONTEXT OF THE SOCIAL IDENTITY APPROACH

Defining collaboration within the context of the social identity approach is an important part of this research. First, defining collaboration is important because the lack of coherence "results in a wide variety of definitions and understandings of the meaning of collaboration. This has stymied exactness in defining collaboration in the public sector. The definition of collaboration is important to the public sector so that those stakeholders who wish to build collaboration and communicate with counterparts in other agencies to positively impact collaboration have a clear and concise vision. Leaders have a role "in framing experience in a way that provides a viable basis for action," which means that leaders need to mobilize meaning by "articulating and defining" goals so that others can take action.[168]

The social identity approach and related theoretical background is the underlying foundation for the communication skills and methods that could be used to actively build collaborative capacity and increase collaboration between agencies. In order for communication to be used to build collaboration, there is a need to develop a definition which has a similar foundation in the social identity approach. Public sector leaders who wish to attain a level of collaborative capacity in their own organizations, and those who wish to enhance collaboration must understand that "fundamental nature of leadership as a social process."[169]

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[168] Smircich and Morgan, "Leadership: The Management of Meaning," 257.

[169] Ibid., 261.

In beginning to understand collaboration through the lens of the social identity approach, there are basic dimensions of collaboration, which can be addressed. In a study on conceptualizing and measuring collaboration by Thomson et al., five dimensions of collaboration were proposed: *Governance*, *Administration*, *Organizational Autonomy*, *Mutuality*, and *Norms*.[170] Each of these five dimensions, when compared to principles of the social identity approach allow for a definition of collaboration, which can provide a more clear vision that leaders can operate with. The five dimensions are applicable because they have a focus in structural issues, social dimensions, and agency culture.

Governance concerns the ways joint decisions are made.[171] This includes structures, which are established so that those who are participating in the collaborative process can make "choices about how to solve the collective action problems they face."[172] In general, governance is the process where stakeholders negotiate an "equilibrium where context and conflict between partners still occurs but only at the margins and within a larger framework of agreement on the appropriateness of jointly determined rules that assure a collaborative environment."[173] In the case of collaboration, governance is how the group makes its decisions and how each group member adds value to the decision-making process. The social identity approach is important to governance because if a group can develop a social identity that is salient, they are more apt to "discuss and negotiate their differences with an expectation, and motivational pressure to reach agreement."[174]

The social identity approach deals with this need for group-decision making by arguing that group discourse, where social identity is salient, allows for a higher chance of converging on a decision that is in line with the in-group's prototypical position.[175]

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[170] Thomson and Perry, "Collaboration Processes."

[171] Ann Marie Thomson, James L. Perry, and Theodore K. Miller, "Conceptualizing and Measuring Collaboration," *Journal of Public Administration Research and Theory* 19, no. 1 (2009): 23-56, doi: 10.1093/jopart/mum036.

[172] Ibid., 25.

[173] Ibid., 26.

[174] Haslam, *Psychology in Organizations,* 110.

[175] Ibid.*,* 111.

This means that a group which establishes itself in order to accomplish a task by collaborating, is better off making decisions to reach that goal if they are able to first develop a collective identity. The role of a shared identity in decision-making is rooted in the argument that social identity salience impacts the consensus of a group decision.[176] Governance is different from administration in that governance deals with the participatory aspects of decision-making while administration deals with some of the formal arrangements of the collaborative group and allows action to move from the group's decision.

Administration applies to the administrative structure of how collaboration is done.[177] The administration of collaboration is important because it manages those structures that exist within the collaborative environment. This is not as clear as the organizational structure of an organization, but is similar in that it is the structure that moves from governance to action. Collective action within the collaborative process is also addressed by the social identity approach.

Collective action is a large part of the theoretical analysis of the social identity approach. In fact, S. Alexander Haslam argues, "shared social identity is a prerequisite for collective action."[178] This argument is based on the knowledge that group membership contributes greatly to the explanation of why individuals participate in collective action. As discussed, the self-categorization process and the social identity theory are the core theories that make up the social identity approach.

The self-categorization process is the "cognitive basis of group behavior."[179] This especially relates to collaboration and the role of self-categorization as an in-group member. Self-categorization is the beginning of the process that develops an understanding of "group prototypicality, or normativeness" which means the individual begins to "act as embodiments of the relevant in-group prototype rather than as unique

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[176] Haslam, *Psychology in Organizations,* 119.

[177] Thomson, Perry, and Miller, "Conceptualizing and Measuring Collaboration."

[178] Haslam, *Psychology in Organizations,*

[179] Hogg, Terry, and White, "A Tale of Two Theories," 260.

individuals."[180] In addition to the role of categorization, the social identity theory is also pertinent to group behavior, but articulates the role of external influences over that of an individual's internal needs.

Social identity theory also recognizes the pertinence of identity with an in-group, but also goes further in explaining the role of out-groups to group behavior.[181] The social identity theory's focus on intergroup behavior is also important to understanding collaboration because of the need to determine the salience of identity compared to the salience a group member may have with an out-group. In general, the administrative dimension to collaboration is impacted by self-categorization, salience of identity, and the development of group norms.

In addition to the two structural issues (governance and administration), social dimensions also impact collaboration. The first social issue is autonomy. For the purposes of public sector collaboration, organizational autonomy is an important concept because it recognizes that collaborative partners "maintain their own distinct identities and organizational authority separate from a collaborative identity."[182] In short, those people who are collaborating with others also identify with different groups. This could cause tension based on the responsibility they feel toward the group they normally identify with and the responsibility they feel toward the new, collaborative group. This is an important concept when blending the idea of collaboration with those theories with foundations in the social identity approach. Some of the tensions created by multiple identities may be alleviated through an understanding of mutuality.

Similar to the role of organizational autonomy, mutuality is a social dimension to collaboration because it accounts for "mutually beneficial interdependencies" that develop as groups are formed to collaborate. Thus, the relationships between members of the collaborative groups become important because members exchange benefits where the respective home organization is not negatively impacted. In general, as long as

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[180] Hogg, Terry, and White, "A Tale of Two Theories," 261.

[181] Ibid., 264.

[182] Thomson, Perry, and Miller, "Conceptualizing and Measuring Collaboration," 27.

"collaboration partners can satisfy one another's differing interests without hurting themselves, collaboration can occur."[183] Within the context of the social identity approach, the concept of mutuality is expressed in the idea of negotiation.

Negotiation is the art of managing the conflict of interests between groups "in a way that minimizes harm and maximizes benefit to the participants and the organization…as a whole."[184] The role of the social identity approach in negotiation is providing a conceptualization of how to deal with the possibility of dual interests and perspectives of multiple identities.[185] Examining the social identity approach shows that superordinate goals may be a means of developing mutuality.

In Sherif's *Robbers Cave Experiment*, superordinate goals were introduced as a means of reducing conflict. Sherif identified superordinate goals as "goals that could not help having appeal value to the members of both groups."[186] Therefore, the introduction of superordinate goals could "hold the key to success" regarding cooperation and is explicitly related to mutuality within the context of collaborative behavior.[187]

The final dimension to collaboration is the concept of norms. In relation to collaboration, this involves an understanding of the belief system which exists in a collaborative group. The norms of interagency collaborative groups include an understanding of "reciprocal obligations" where stakeholders believe benefits will be equalized throughout the collaborative process.[188] Within collaborative groups, the norms could include the beliefs that each member will: "(1) make 'good-faith efforts to behave in accordance with any commitments both explicit and implicit,' (2) be honest in whatever negotiations preceded such commitments,' and (3) not take excessive advantage of another even when the opportunity is available."[189] Based on the inclusion of such

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[183] Thomson, Perry, and Miller, "Conceptualizing and Measuring Collaboration," 27.

[184] Haslam, *Psychology in Organizations*, 120.

[185] Ibid., 125.

[186] Sherif et al., *The Robbers Cave Experiment,* 47.

[187] Hogg and Abrams, *Social Identifications*, 129.

[188] Thomson, Perry, and Miller, "Conceptualizing and Measuring Collaboration," 27.

[189] Ibid., 28.

norms, the reciprocal relationships in a collaborative group require a level of trust because each collaborative group member must believe that their fellow group members will act in corresponding ways and with appropriate responses.

C. THE SOCIAL IDENTITY APPROACH DEFINITION OF COLLABORATION

In closing, a definition of collaboration is proposed based on the social identity approach and the five dimensions of conceptualizing collaboration (*Governance*, *Administration*, *Organizational Autonomy*, *Mutuality*, and *Norms*). This definition could be provided to those wishing to establish collaborative groups or enhance the collaborative capacity of their organizations. This thesis proposes that collaboration, with a foundation in the social identity approach, is: *a group relationship where the group cannot rely solely on bureaucratic or market-driven sources of power and in which members identify themselves as part of a group, put the needs of the group ahead of their own, and negotiate with each other as they decide on actions to meet an established goal of the group.*

This definition recognizes that the group members may or may not be part of the same home organization. This definition also recognizes that bureaucratic power that exists in a rank structure may not be present, nor will a market-driven source of motivation. Both of these recognitions are important when dealing with public sector collaboration because interagency cooperation may not have a recognized rank structure and because it is a focused on the public sector, market-driven controls such as supply and demand may not be a contributing factor. This definition relies on the social identity approach including the social identity theory and self-categorization theory to analyze how people behave as group members and the need for a shared, salient identity of the collaborative group.

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V. THE SOCIAL IDENTITY APPROACH AND COMMUNICATION

Organizations and the establishment of groups made up of interagency representatives to accomplish goals such as counter-terrorism, intelligence, or emergency management are arguably social systems that need communication in order to pass information that will ultimately drive behavior. Social systems are "complex patterns of behavior" that people construct as they actualize their roles in those systems.[190] Communication is a network that runs through social systems and acts as a catalyst to start the human action within the system.[191] With regard to the social identity approach and communication, communication is considered not as just a process, but is analyzed as to the social system and how communication acts as a function within the social system.[192]

The social identity approach can be applied to communication because "issues of identity and identification are fundamentally communicative ones."[193] Identity and identification are needed for group decisions because "individuals are generally quite willing to internalize and abide by a collective decision because they are self-involved in it as group members."[194] Therefore, communication is highly related to identity and thus to group decision-making. This chapter seeks to analyze the role of communication to the social identity approach by discussing relevant factors of salience, norms, interaction, and influence.

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[190] Katz and Kahn, *The Social Psychology of Organizations*, 37.

[191] Ibid.

[192] Ibid.

[193] Craig R. Scott, "Communication and Social Identity Theory: Existing and Potential Connections in Organizational Identification Research," *Communication Studies* 58, no. 2 (May 2007): 123-138, doi: 10.1080/10510970701341063, 124.

[194] Haslam, *Psychology in Organizations,* 105.

Haslam argues that there are five key functions of communication in organizations and these five functions show how social identity and communication are related:[195]

1. Exert influence.

2. Reduce uncertainty.

3. Obtain feedback.

4. Coordinate.

5. Serve affiliative needs.

These five key functions may drive groups to communicate because they allow people to tell others what to do, clear up instructions and definitions of success, allow others to know if they have achieved a goal, establish and assure groups they are working toward a common goal, and allow the group opportunities for good-natured interaction. In order to more clearly understand the relationship between communication and social identity, horizontal communications and vertical communications will be used to disentangle the complex relationship.

Horizontal communications are "the informal interpersonal and socioemotional interaction with proximate colleagues and others…who are at the same level."[196] This type of communication takes place amongst peers that belong to the group. Within the context of collaboration, horizontal communication can be thought of as that communication that takes place within an interagency group trying to accomplish a task. For example, there may be representatives from multiple agencies working toward a common goal. The communication taking place between such members would be considered horizontal if there is not a formal structure placing one group member above another. This differs from vertical communications.

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[195] Ibid., 85.

[196] Tom Postmes, Martin Tanis, and Boudewijn de Wit, "Communication and Commitment in Organizations: A Social Identity Approach," *Group Processes & Intergroup Relations* 4, no. 3 (July 2001): 227-246, doi: 10.1177/1368430201004003004, 227.

Vertical communications refer to the work-related exchange of information that takes place through a hierarchical framework.[197] For example, within organizations Postmes indicates communication can range "from employees receiving information about the organization's strategy to the ability for giving bottom-up feedback and advice to management."[198] This thesis posits that a similar communication framework also exists in structured, interagency collaborative response mechanisms such as the incident command system (ICS). One of the reasons ICS was established was to deal with "inconsistent communication systems, terminologies, and management approaches."[199] The structure of an ICS is similar to the hierarchies set up in many public organizations; therefore the presence of vertical communication is necessary within interagency collaborative structures.

Both horizontal and vertical communication apply to the social identity approach because of the basic theory that "social psychological processes are grounded in a particular understanding of the social context, and on the placement and thereby definition of the self within that social context."[200] Communication allows groups to "unequivocally define" what they stand for by preparing the group to enhance their social identity.[201] Therefore, the role of communication is important with regard to social identity because it can accelerate, and is a necessary part of, social identity becoming salient.

Social identity salience is an important aspect of group behavior. When social identity becomes highly salient, which means the identity of the group is the prominent guiding factor, individual behavior is "guided by" the attributes of the group the individual considers themselves a member of.[202] The role of social identity salience to group behavior is one important aspect where communication can have an impact.

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[197] Ibid., 227.

[198] Postmes, Tanis, and de Wit, "Communication and Commitment in Organizations," 227.

[199] Moynihan, "Combining Structural Forms in the Search for Policy Tools," 208.

[200] Postmes, Tanis, and de Wit, "Communication and Commitment in Organizations," 228.

[201] Ibid., 230.

[202] Reicher, "The Determination of Collective Behaviour."

Salience of identification is relevant because it is recognized that multiple identifications can exist and therefore can drive behavior.[203] The role of social identity is therefore the relevancy of each identity. Communication helps diagnose and establish the identities, which can then result in understanding when one identity becomes salient relative to another.[204] This could become important in collaborative endeavors amongst multiple agencies because the goal would be for the collaborative group's identity to become salient relative to the individual's identity with their home agency. The social identity approach can be applied to groups in order to shape the identities needed to gain collaborative work amongst individuals who may or may not have identified with each other.

Communication is an integral part of social identity. Although it is absent from much of the social identity literature, communication "plays a pivotal (but often covert and underexposed) role in social identity processes."[205] Communication not only impacts social identity salience, but also the formation of identity.

Communication conveys information about group norms, which are "*shared* patterns of thought, feeling, and behavior."[206] Norms are developed by groups to "govern their intragroup and intergroup transactions."[207] Therefore, the norms guide how group members make decisions based on their social identity and self-categorizations. These are the types of behaviors that guide people because, through the social identification and self-categorizations processes, people have agreed upon what is or is not normative behavior.[208]

There are two types of norms related to the social identity approach that can be impacted by communication. Descriptive and prescriptive norms can be distinguished

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203 Scott, "Communication and Social Identity Theory."

204 Scott, "Communication and Social Identity Theory."

205 Postmes, "A Social Identity Approach to Communication in Organizations," 89.

206 Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 8.

207 Hogg and Abrams, *Social Identifications*, 110.

208 Ibid., 1.

from each other by the social identity approach.[209] Descriptive norms are communicated because these norms describe what "most people in a group think, feel, or do" while prescriptive norms "refer to what most people in a group approve of."[210] Although there is a separation in the definition, there could be overlap between descriptive norms and prescriptive norms. For example, in the case of collaboration, if collective behavior is what group members are actually doing and thinking while also being the type of behavior that is approved of, collaboration is most likely going to occur and is both a descriptive and prescriptive norm. Conversely, if being protective of information and working individually is how most of the group behaves (descriptive norm), there may not be collaborative behavior even if such a behavior is prescribed.

Social identity salience is important to the power of the norms over individual behavior because the impact on behavior "is likely to be stronger when the in-group is important to who we are, when we identify strongly or have a strong desire to be accepted as members of the group, and when the group's value, definition, or very existence is under threat."[211] Norms based on social identity are passed through social interaction, which influences behavior of group members.

The normative beliefs are created and adjusted through the passage of information.[212] Interaction amongst members must therefore occur and group members must be influenced. The key to understanding the creation and adjustment of norms, interaction, and influence is the internal processing of information through social identity. In essence, the cognitive processes that impact behavior come from within an individual that has internalized their identity with the group and not from an external constraint. Communication is an important part of this process because "people in salient groups pay close attention to the prototype, to information that delineates the prototype, and to

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[209] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms."

[210] Deborah A. Prentice, "Norms, Prescriptive and Descriptive," in *Encyclopedia of Social Psychology* ed. R. F. Baumeister and K. D. Vohs (Thousand Oaks: SAGE Publications, 2007), 630.

[211] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 13.

[212] Ibid.

people who provide information about the prototype."[213] This means that group member behavior can be impacted by examples of normative behavior, by information that clearly articulates normative behavior, and by those members who are communicating information about expected group behavior. Thus, "communication plays a key role in social influence and consensual grounding of norms"[214] which means it also plays a key role in how people behave and make decisions.

Communication to establish social identity can take place by observing prototypical behavior, non-verbal communication such as body language and expressions, and more solid communicative techniques involving speech and language where normative behavior is specifically discussed.[215] Prototypical behavior is expressed by a group member who is an in-group prototype. This is where the group member embodies the social identity of the group to which they belong.[216] The observation of prototypical behavior occurs when group members see a person behaving in a way that is "maximally representative of the shared social identity and consensual position of the group."[217] In more simple terms, this could be considered leading by example. In addition to observations of prototypical behavior, non-verbal cues can also act as conveyances of expected behavior based on group norms.

Non-verbal cues toward group members who behave within the boundaries of group norms can provide members with a need for positive social identity.[218] The role of non-verbal communication in establishing normative behavior is as stimulus that indicates approval or non-approval. Within the context of the social identity approach, non-verbal indicators can impact the normative understanding of group members because they can provide signs of agreement or disagreement. For example, if a group member behaves in a particular way where they expect agreement, but are instead shown signs of

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[213] Ibid., 13.

[214] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms," 14.

[215] Ibid.

[216] Haslam, *Psychology in Organizations*, 45.

[217] Ibid., 45.

[218] Hogg and Abrams, *Social Identifications*, 201.

disagreement, this can create a "feeling of subjective uncertainty about the objective validity or appropriateness" of their behavior.[219] This results in a greater pressure to conform to group norms. Non-verbal cues can be just as important to the establishment of norms as prototypical behavior and verbal communication using speech and language. For example, group norms are not only communicated by what people say, but also by "appearance, facial expression, eye contact, touch and bodily contact, spatial behavior (proxemics and orientation), gesture, head nods, posture, and non-verbal vocalizations."[220]

In a collaborative environment, communication through speech and language is obviously an important concept. Communication can take place through face-to-face verbal discussions, via communication devices when individuals are separated by distance, or through written mediums. In the case of social identity, communication through speech and language can act as "a vehicle of culture, a symbol of identity."[221]

Communication through speech and language is arguably related to social identity because: "they occur between people; they are predominantly about people; and they are overwhelmingly consensual rule governed social products of a language community."[222] This applies to the social identity approach because communication involves the creation and passing of information which requires cognitive processes and collective education.

Communication is therefore a means to pass information and create "shared cognition."[223] The key aspect of communication and social identity is that communication "has the capacity to transform a prospective identity into an operational identity."[224] What this means is that collaborative groups can form with the prospective

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[219] Ibid., 165.

[220] Anne Hill, Danny Rivers, and James Watson, *Key Themes in Interpersonal Communication: Culture, Identities and Performance* (Berkshire: Open University Press, 2007), 127.

[221] Hogg and Abrams, *Social Identifications*, 191.

[222] Ibid., 190.

[223] Tom Postmes, S. Alexander Haslam, and Roderick I. Swaab, "Social Influence in Small Groups: An Interactive Model of Social Identity Formation," *European Review of Social Psychology* 16, no. 1 (January 2005): 1-42, doi: 10.1080/10463280440000062, 18.

[224] Ibid., 19.

ability to work together to reach a common goal and communication can develop that prospect into a realistic operational identity.

VI. COMMUNICATION AND BUILDING COLLABORATIVE CAPACITY AND COLLABORATIVE ENVIRONMENTS

Collaboration is ultimately a group behavior and therefore the social identity approach can be used to develop collaborative capacity. Furthermore, communication plays a significant role in the development of social identity, the self-categorization process, and helps develop salience of social identity. Therefore, the role of communication in building collaborative capacity and developing environments that are conducive to collaboration is the final logical step in understanding the role of social identity in collaboration.

In *Administrative Behavior,* Herbert Simon writes, an individual "does not live for months or years in a particular position in an organization, exposed to some streams of communication, shielded from others, without the most profound effects upon what one knows, believes, attends to, hopes, wishes, emphasizes, fears, and proposes."[225] Communication impacts the individual and is "the very essence of a social system or an organization."[226]

In more simple terms, the purpose of communication is to give direction, clear up any possible confusion, determine if a task has been satisfactorily completed, establish common goals, and allow people to connect socially. Each of the key functions of communication serves a purpose within organizations and groups. The key functions can also serve as lenses through which communication can be analyzed to examine how collaborative capacity can be built and maintained. Overall, the five functions of communication, when related to collaboration and the role of social identity, should not be thought of as silos, but as reasons for communication that can bleed over from one to another.

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[225] Herbert Simon, *Administrative Behavior, 4th Edition* (New York: The Free Press, 1997), 18.

[226] Katz and Kahn, *The Social Psychology of Organizations*, 428.

A.   EXERTING INFLUENCE

There are two concerns regarding exerting influence to build collaborative capacity: building collaborative capacity within an organization and developing collaboration amongst a group of members from multiple agencies that come together to solve a problem. The first to be discussed is how to generate the compelling need to collaborate within an organization.

Building the collaborative capacity within an agency means leaders must focus on a difficult task that requires "both tangible resources, such as personnel and money," as well as "intangible resources, such as the cooperative dispositions and mutual understanding of the individuals who are trying to work together on a common task."[227] Building collaborative capacity does not depend on formal structure of an organization, but the behavioral processes that exist amongst the individuals that make up groups within an organization.[228] Rather than focusing on structure, leaders can communicate to influence the members of their organization.

When attempting to build the collaborative capacity of their organizations, leaders can take a useful role as a facilitator. Facilitators concentrate on building consensus and can exert their influence in order to generate the consensus that collaboration is a necessity and requirement of their organization.[229] One of the main concerns with exerting influence is the role of trust.

Trust is a benchmark of self-categorical relations amongst group members.[230] The members of groups have self-categorized themselves and identified with each other as a group and therefore trust each other. Social identity amongst the group is salient and has an impact on the decisions of individual group members who seek to cooperate and act collectively as a group. The leader who seeks to build the capacity to collaborate must

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[227] Bardach, *Getting Agencies to Work Together*, 307.

[228] Ibid., 16.

[229] Ibid.

[230] Haslam, *Psychology in Organizations*, 38.

therefore understand that they must also identify with the group they are attempting to influence.

Trust seems to be a cognitive understanding that the common person *knows it when they see it*. A more academic definition was posited by Martin Tanis and Tom Postmes who identified trust "as a cognitive process associated with the confidence in another's goals or purposes, or the perceived sincerity of another's word."[231] Leaders who become "socially or stereotypically attractive – the target of unilateral respect, trust, and liking expressed by the followers" have a greater chance of exerting influence.[232] This is important for exerting influence through communication because the leader who seeks to build collaborative capacity cannot simply be the one who happens to fit the most stereotypic image of the group, but rather must proactively seek influence by creating a salient social identity.[233] A leader's ability to influence others can also be related to power.

Power may be based on position within an organization; however, leaders may be more able to use power to influence others when the perception of power is dictated by a focus on the group rather than the leader's position. For example, if a salient group identity exists, and the leader is considered a prototypical member of that group, they have a greater power base than merely being the person who is officially recognized as being in charge on an organizational chart. The desire for power should therefore be to enhance the standing of the group. This means that the group takes precedence over personal growth of the leader.[234] The use of power to communicate and thereby influence the collaborative capacity of a group is focused on the social identity approach because group power: "benefits and mobilizes others, not just the individual self, and as a result, it can be used to achieve comprehensive organizational and social change, while the pursuit

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[231] Martin Tanis and Tom Postmes, "A Social Identity Approach to Trust: Interpersonal Perception, Group Membership and Trusting Behaviour," *European Journal of Social Psychology* 35, no. 3 (June 2005): 413-424, doi: 10.1002/ejsp.256, 413.

[232] Hogg and Abrams, *Social Identifications*, 183.

[233] Ibid., 183.

[234] Haslam, *Psychology in Organizations*, 160.

of power in one's personal interests generally lends itself only to incremental change or simply to preservation of the status quo."[235]

In addition to exerting influence within an organization, influence is also important when a group is formed to respond to a problem as a collective. Exerting influence in a group made up of people who may not have an existing shared identity (such as belonging to the same organization) is also an important reason to communicate.

Exerting influence within the context of intragroup behavior is an important factor when attempting to build social identity salience. One of the first factors to understand is the role and importance of group cohesiveness. Communicating and influencing new groups in order to build cohesiveness "enhances group productivity and performance, increases conformity to group norms, improves moral and job satisfaction, facilitates intragroup communication, reduces intragroup hostility, and increases feelings of security and self-worth."[236] Based on the social identity approach, the key to cohesiveness is that group members can become dependent upon one another in order to satisfy mutual needs.

When exerting influence within a new group, and where a shared identity is sought, convergent communication may be the most applicable means of building social identity salience. Convergence is where speakers "modify their communication so that its features are more similar to those perceived to be characteristic of the recipient."[237] Communication style, those features that can be adjusted to exert more influence, includes vocabulary, accent, speech rate, and formality.[238] Figure 3 shows the relationship between shared social identity and self-categorization with communication style. The figure indicates that "A" can use communication styles that converge or diverge from what is "perceived to be characteristic of "B." Convergence indicates a strong shared identity and social identity salience while divergence would add to a wider divide.[239]

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[235] Haslam, *Psychology in Organizations*, 160-161.

[236] Hogg and Abrams, *Social Identifications*, 94-95.

[237] Haslam, *Psychology in Organizations*, 92.
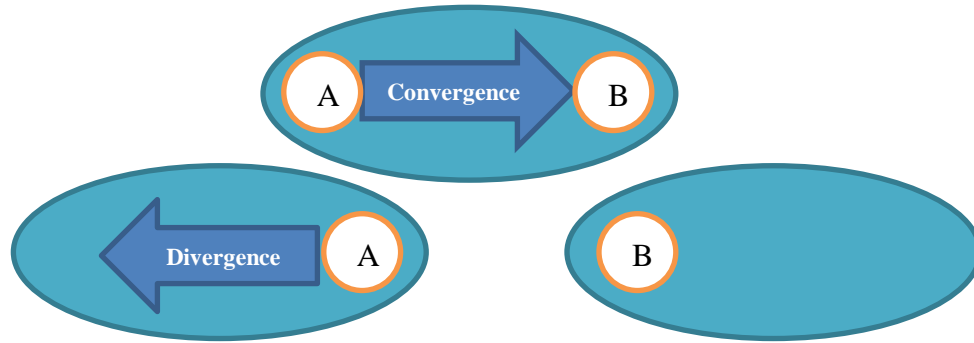
[238] Ibid.

[239] Ibid., 93.

Figure 3.   Accommodation of Speech as Self-Categorization

B.   REDUCING UNCERTAINTY

Reducing uncertainty for the communicator or the recipient can make a shared identity more salient because "clear definitions" are one of the "hallmarks of effective teams."[240] Shared identity also results in shared norms and cues, which benefits group members because they become more certain of acceptable behavior. One of the first considerations is the clarity of who makes up the group the leader is attempting to define. Clarifying any ambiguity about who group members are is a beginning point in developing a salient identity.[241]

Murray Horwitz and Jacob M. Rabbie tell a story about the German occupation of the Netherlands. They write:

> In April 1942, during the German occupation of the Netherlands, individuals who happened to have at least three Jewish grandparents were required to wear a yellow star. People who met this criterion, including those who were unaccustomed to defining themselves as Jews at all, were suddenly marked off and isolated from the rest of the population. One thing was clear: many people who were categorized in this way shared an inescapable sense of belongingness to the Jewish group, mingled with fear and apprehension about what the future would bring them.[242]

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[240] Elizabeth D. Pena and Rosemary Quinn, "Developing Effective Collaboration Teams in Speech-Language Pathology," *Communication Disorders Quarterly* 24, no. 2 (Winter 2003): 53-63, doi: 10.1177/ 15257401030240020201, 53.

[241] Huxham and Vangen, "Ambiguity, Complexity and Dynamics in the Membership of Collaboration," 777.

[242] Murray Horwitz and Jacob M. Rabbie, "Individuality and Membership in the Intergroup System," In *Social Identity and Intergroup Relations,* ed Henri Tajfel (Cambridge: Cambridge University Press, 2010), 241.

This story is indicative of the importance of defining group members. This was done very clearly in the Netherlands by the Germans. The result was a group identity was established and became extremely salient in individuals who may not have even identified as Jewish prior to being placed into the group by the German occupiers. Although an extreme example, this story exemplifies the power of clarifying group membership and reducing ambiguity in order to enhance the salience of an identity. In considering how to reduce ambiguity, leaders can consider how a common social identity can be "switched on" that will solidify group members' identities.[243]

When a leader communicates they cause group members to interpret meanings which results in action.[244] Reducing uncertainty in the minds of the group members, therefore allows leaders to "redefine the context" so that they reduce the chance of "rival interpretations" driving group behavior.[245] Uncertainty reduction is a motive for social identity because people want to "reduce subjective uncertainty about their social world and about their place within it."[246] This is a benefit to leaders who seek to establish a collaborative group or build collaborative capacity because people seek to understand how they are supposed to act and establish limits on how they can expect others to act.

In summary, reducing uncertainty affects the ability of a leader to build collaborative capacity. This partially depends on the leader's ability to clarify group members and define the situation in a way that can serve "as a basis of action for others."[247] In considering the need to reduce uncertainty, leaders are able to guide actions taken by group members by clearly developing a common operational picture that group members can work from. Not only does reducing uncertainty apply to clarifying who is part of the responsible group, it also applies to the limits of behavior acceptable to the group.

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[243] Turner, "Towards a Cognitive Redefinition of the Social Group," 29.

[244] Smircich and Morgan, "Leadership: The Management of Meaning," 262.

[245] Ibid., 262.

[246] Hogg et al., "The Social Identity Perspective," 256.

[247] Smircich and Morgan, "Leadership: The Management of Meaning," 262.

C. PERFORMANCE FEEDBACK

Providing feedback concerning a group member's performance can assist in the creation of social identity salience within a collaborative group. The key to this purpose of communication is understanding how social identity salience can have an impact on the in-group relationship and ability of the group to provide an individual with a "relatively positive self-evaluation that endows the individual with a sense of well-being, enhanced self-worth and self-esteem."[248]

Intragroup relations are the key to performance feedback related to social identity salience. This focuses on the relationships inside the group because of the need for a shared identity to build collaborative capacity. Within the broader context of intragroup relations, the need for reinforcement is discussed because interaction between group members that "is rewarding in some way"[249] reinforces group cohesiveness, which can result in greater "conformity to group norms."[250] The ability to reinforce a group member, and therefore reward them, deals with the three components of social identity including the cognitive component, evaluative component, and emotional component.[251] In short, group members "attach values and emotions" to their membership.[252] Each of these components are not separate, but rather work with each other as an individual identifies themselves with a group.

The cognitive component of social identity is when individuals "perceive themselves to be members" of the group.[253] Performance feedback to an individual group member can reinforce the cognitive knowledge that the individual is part of the group. This can occur through feedback that allows a social component of group membership to be presented. Rob Paton, in *Managing and Measuring Social Enterprises,* discusses

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[248] Hogg and Abrams, *Social Identifications*, 23

[249] Ibid., 98.

[250] Ibid., 94.

[251] David Brannan, Kristin Darken, and Anders Strindberg, *A Practitioner's Way Forward* (Salinas, CA: Agile Press, 2014).

[252] Ibid., 67.

[253] Turner, "Towards a Cognitive Redefinition of the Social Group," 15.

performance measurement in relation to social construction and therefore departs from the rationalist approach to performance measurement.[254] In general, Paton argues that performance measures can "construct and imbue with authority the notions of performance associated with particular points of view."[255] To the leader who seeks to build collaborative capacity, this means providing performance feedback in a way that further identifies the individual with the group. In addition to solidifying the cognitive knowledge of group belonging, performance feedback provides an opportunity to give members evaluations that enhance the positive connotations of group membership.

The evaluative component of group membership is also important in providing feedback because group members attach positive connotations of the group and their membership.[256] In attempting to build collaborative capacity, or enhance the collective action of a group, performance feedback can provide a positive evaluation of the group and those members belonging to the group. This aspect of performance feedback is important to collective action and the building of collaborative capacity.

Performance feedback that enhances the positive evaluation of group membership will reduce the chance of negative evaluations developing. This is important because groups that do not have an associated positive social identity, risk members that are "motivated either to leave that group physically or dissociate themselves from it psychologically."[257] In seeking collective action, members who do not positively evaluate what they are doing within the group may not perform in a way that enhances the ability of the group to meet its goals. The member would then try to dissociate themselves and may not complete tasks in favor of the group because they do not want to be associated with a group they have developed a negative bias toward.

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[254] Rob Paton, *Managing and Measuring Social Enterprises* (Thousand Oaks, CA: SAGE Publications, 2003).

[255] Ibid., 45.

[256] Brannan, Darken, and Strindberg, *A Practitioner's Way Forward*, 67.

[257] Turner, "Towards a Cognitive Redefinition of the Social Group," 34.

The emotional component deals with "the emotions that accompany the cognitive and evaluative components" of group membership.[258] Through the knowledge that they belong to a group and the related evaluative component of the group and their membership in that group, feelings develop which impact the decisions of the individual group member. There may be a tendency to consider the role of emotion secondary to rationalization and reason; however, studies have shown that emotion has a tremendous impact on decision-making.

Lerner, Li, Valdesolo, and Kassam in their work, *Emotion and Decision Making*, found that "emotions constitute potent, pervasive, predictable, sometimes harmful and sometimes beneficial drivers of decision making."[259] This agrees with Stephen Reicher in *Determination of Collective Behaviour*, where he writes about individuals who were willing to "sacrifice the absolute level of reward" in order to discriminate against an out-group.[260] The simple way of stating Reicher's argument is that the emotion of belonging to a particular group overrode what would be considered a rational decision. Therefore, the emotional impact an individual can gain from feedback on their performance based on group norms can be a powerful tool and deserves consideration by anyone attempting to build collective action or collaborative capacity.

D.   COORDINATING GROUP PERFORMANCE

Coordination of group performance is important to collective action because the ultimate goal is for the group to work toward solving a particular problem or reaching a certain goal. Communicating to enhance collaboration relies on coordinating the group and reaching performance goals. This sounds technical in nature; however, the social identity approach and related theoretical arguments show that technicality, structure, or process will not guarantee collaborative behavior. Rather the salience of social identity

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[258] Brannan, Darken, and Strindberg, *A Practitioner's Way Forward*, 67.

[259] Jennifer S. Lerner, Ye Li, Piercarlo Valdesolo, and Karim S. Kassam, "Emotion and Decision Making," *Annual Review of Psychology* 66 (September 2014): 799-823, doi: 10.1146/annurev-psych-010213-115043.

[260] Reicher, "The Determination of Collective Behaviour," 52.

and requisite self-categorization of group belonging by individuals will have a greater impact on performance.

In his book, *Getting Agencies to Work Together: The Practice and Theory of Managerial Craftsmanship,* Eugene Bardach realizes that "steering a course is not just a technical process. It is a political process as well. Values, ideologies, constituencies, turf, power, and ego are all in play."[261] Nowhere does Bardach actually mention the social identity approach; however, concepts of social identity salience are present throughout his arguments on collaboration. For example, Bardach discusses the need for building consensus, having integrity, being inclusive, and fairness.[262] The social identity approach can have a stronger impact on coordinating group performance.

The social identity approach has been valuable in ascertaining why collective action can take place, even outside of organized, structured, and technical processes. There are a number of examples such as "demonstrations, sit-ins, strikes, and riots" where collective behavior takes place that are not organized or planned.[263] The short answer to how these unorganized, yet collaborative groups can form and coordinate group performance is the role of norms and social identity salience.

Communicating in order to coordinate group performance can be achieved through analysis of a collective decision-making process. The communicator may first consider how to establish a "collective definition of a situation."[264] This allows the group to share an understanding of the situation and builds awareness amongst the group as to the need to solve the problem. A shared definition of the situation also allows direction to be given to the collective's activities. In addition to giving direction, communicating a shared definition of the situation builds "meaning for those actions" which becomes important when considering the emotional component of social identity salience. Emotion can also be managed by communicating in order to serve the affinitive needs of group members.

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[261] Bardach, *Getting Agencies to Work Together*, 199.

[262] Ibid.

[263] Hogg and Abrams, *Social Identifications*, 136.

[264] Ibid., 149.

E. SERVING AFFINITIVE NEEDS

Within the social identity approach there is agreement that communication impacts human relations including "feelings, affection or dislike for people or groups, morale, motivation, encouragement, and a range of other socio-emotional content."[265] Serving the affinitive needs of individuals is an important role of communication and one that also impacts the salience of social identity. Therefore, in order to build an identity where collaboration is expected from the group, the affinitive needs of group members should be considered.

Being an *affective* leader should not be confused with being an *effective* leader. Leaders that are affective understand the emotional aspect of leadership and the role it plays in getting groups to work together or to work toward a common goal. The affective leader understands the impact of feelings on behavior and this is a leadership skills that is directly related to the social identity approach and the power of social identity in changing behavior. The affective leader must be able to deal with the concept of emotional labor.

Emotional labor "is a component of the dynamic relationship between two people."[266] It is not simply a characteristic of personality, but it is "a social exchange" where meeting the affinitive needs of group members can have a tremendous impact.[267] Belonging to a group can provide members with feelings that can influence decisions a person makes. The "group becomes a source" of a person's "socially constructed identity."[268] This means that the values associated with that group and the salience of the identity associated with that group can drive how a person behaves, the actions they take, and the feelings they get from belonging to the group.

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[265] Postmes, "A Social Identity Approach to Communication in Organizations," 85.

[266] Meredith Newman, Mary E. Guy, and Sharon H. Mastracci, "Beyond Cognition: Affective Leadership and Emotional Labor," *Public Administration Review* 69, no. 1 (February 2009): 6-20, doi: 10.1111/j.1540-6210.2008.01935.x, 6.

[267] Ibid., 7.

[268] Brannan, Darken, and Strindberg, *A Practitioner's Way Forward*, 65.

Communicating in order to deal with the affective needs of group members is also supported by research by Janis, where two types of emotionality were discussed. Janis described the first as "the load of preconscious affectivity, the emotional impulses that can move into the conscious sphere."[269] The second type is where the decision-maker is unaware of the emotion as it is driven by "deeper defensive needs."[270] In building collaborative capacity or attempting to gain compliance in working toward a collaborative goal, a greater emphasis can be placed on the emotional impact a communicator can have in meeting the affinitive needs of group members.

A leader would do well to understand the power of identity when attempting to build a collaborative group or the collaborative capacity of their organization. In providing affinitive needs through communication, leaders will become more effective. Katz and Kahn hypothesize that "the most effective leader… is not the perfect bureaucrat, but rather the successful integrator of primary and secondary relationships."[271] In their analysis, Katz and Kahn relate that the effective leader "mediates and tempers the organizational requirements to the needs of persons" and "demonstrate care for persons as persons."[272] Through communication, leaders can have a social impact on the group. Social impact is a change in "subjective feelings, motives and emotions, cognitions and beliefs, values and behavior that can occur in an individual human or animal as a result of the real, implied or imagined presence or actions of other individuals."[273]

The five key functions of communication can all be impacted by the social identity approach. Leaders who are attempting to build collaborative capacity, or who seek to gain compliance of a group toward collaborative goals should embrace communication as "the process by which identity is symbolized to others." This will allow leaders to develop a salient social identity amongst the group and therefore they will have a greater impact on the decision-making of the group. The final part of this

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[269] Katz and Kahn, *The Social Psychology of Organizations*, 511.

[270] Ibid., 511.

[271] Ibid., 555.

[272] Ibid., 555.

[273] Hogg and Abrams, *Social Identifications*, 149

chapter will move from the role of communication in building collaborative capacity to technical aspects of communication in organizations so that a general knowledge is developed concerning communication.

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VII. ANALYSIS

The need for collaboration is a recognized area of concern within the homeland security enterprise from the emergency management of natural and man-made disasters through counter-terrorist operations including intelligence. The role of communication in collaboration is based on the social identity approach to organizational behavior and interagency cooperation. The importance of a salient group identity to the decision-making process has been the focus of this research project. The final analysis of the concepts presented in this research lead to a conclusion that applies these concepts to collaborative public management in the homeland security enterprise.

A. COMMUNICATION TO DEVELOP A SALIENT COLLABORATIVE IDENTITY

Communication is one of the main processes in developing a group identity. "Two important ideas to remember are: (1) identity is relational and (2) human beings develop their social identities primarily through communicating."[274] This research project has focused on the role communication plays in social identity and thus the reason that communication is an important concept and skillset for leaders to use in building collaborative capacity. Leaders play an integral part in creating social relationships and therefore are paramount in developing a salient identity that will foster collaboration.

In order to develop collaborative behavior, the social identity approach indicates an identity where "members identify with the team and perceive a stake in the success of the team" may be of benefit.[275] There are some studies that suggest more tactical approaches such as "task interdependence, team longevity, and physical proximity" benefit collaborative team behavior; however, research into the social identity approach indicates tactics such as those listed are not as effective as developing a superordinate

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[274] Brenda J. Allen, *Difference Matters: Communicating Social Identity* (Long Grove, IL: Waveland Press, 2011).

[275] Rajesh Sethi, "Superordinate Identity in Cross-Functional Product Development Teams: Its Antecedents and Effect on New Product Performance," *Journal of the Academy of Marketing Science* 28, no. 3 (June 2008): 330-344, 331.

identity.[276] Generally, individual behavior is driven by a need for positive affirmation of identity.[277]

The identity of a group, especially an interagency group, is fluid and therefore can be redefined and revised.[278] Identity does have a cognitive aspect, but the process of identity-creation has communication at its core. Identity is not merely an individual cognition that should be accepted as something that just develops on its own, but rather identity can be "made salient in communication" and can be "produced and reproduced."[279]

Communication's role in developing social identity is the process through which belongingness, reputation, image, costs, and rewards of group membership are "made known."[280] Therefore, in most cases communication does not absolutely encode social identity, but "usually infers" meanings that can develop social identity.[281] The role of communication is an important one and includes the multiple ways communication infers meaning.

Meaning is important because it connects thought and action. The link between thought and action is communication and the context of communication can guide and can be guided by identity. Ultimately, the power of the communicative narrative is in the reality it can create in the minds of group members. Peter L. Berger and Thomas Luckman, in *The Social Construction of Reality*, discuss this as "expressivity" that "manifests itself in products of human activity."[282] The analysis of communication is that

[276] Sethi, "Superordinate Identity in Cross-Functional Product Development Teams," 331.

[277] Blake E. Ashforth and Fred Mael, "Social Identity Theory and the Organization," *The Academy of Management Review* 14, no. 1 (January 1989): 20-39.

[278] Matthew A. Koschmann, "The Communicative Constitution of Collective Identity in Interorganizational Collaboration," *Management Communication Quarterly* 27, no. 1 (July 2012): 61-89, doi: 10.1177/0893318912449314.

[279] Ibid., 63.

[280] Scott, "Communication and Social Identity Theory," 124.

[281] Elinor Ochs, "Constructing Social Identity: A Language Socialization Perspective," *Research on Language and Social Interaction* 26, no. 3 (1993): 287-306.

[282] Peter L. Berger and Thomas Luckman, *The Social Construction of Reality: A Treatise in the Sociology of Knowledge* (New York, NY: Anchor Books, 1966), 34.

it serves as a vessel for the construction of reality, and thus the construction of identity and therefore is important to creating an identity that is susceptible to collaboration. Communication can also be considered a "sign." The purpose of a sign is "its explicit intention to serve as an index of subjective meaning."[283] The transference of meaning is the ultimate goal of communicating.

In order to construct an identity, the first step in communicating is to construct the message. The message must be constructed in a way that makes it acceptable and this requires the consideration of "pre-existing attitudes" and "external context" that is "filtered through intent and purpose."[284] The communication of the appropriate messages to construct an identity for group members may need to change and the communicator may need to adapt the message. There appears to be a clear link between the social identity approach and the role of communication in building, sustaining, and manipulating identities. Although the link between identity and communication is strong and seems indisputable, there seems to be little contribution to "understanding of the communicative processes upon which judgments about group membership are made, relationships sustained, or outgroup attitudes ameliorated."[285]

Communication processes are interrelated and include: "language, everyday talk, and responses to norms."[286] This is relevant to creating collaborative groups and establishing collaborative capacity because language relates to "communicative competence,"[287] talk "identifies, establishes, maintains, or changes group norms,"[288] and norms "not only guide social interaction and influence, but are themselves the

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[283] Berger and Luckman, *The Social Construction of Reality*, 35.

[284] David Brannan and Anders Strindberg, "Social Identity Theory" (seminar, Santa Clara County Emergency Medical Services, San Jose, CA, September 9, 2015).

[285] Owen Hargie et al., "Communicating Social Identity: A Study of Catholics and Protestants in Northern Ireland," *Communication Research* 35, no. 6 (2008): 792-821, doi: 10.1177/0093650208324270, 792.

[286] Allen, *Difference Matters: Communicating Social Identity*, 35.

[287] Carol M. Eastman, "Establishing Social Identity Through Language Use," *Journal of Language and Social Psychology* 4, no. 1 (March 1985): 1-20, doi: 10.1177/0261927X8500400101, 1.

[288] Michael A. Hogg and R. Scott Tindale, "Social Identity, Influence, and Communication in Small Groups," In *Intergroup Communication: Multiple Perspectives* edited by J. Harwood and H. Giles, 141-163. New York: Peter Lang Publishing, 2005, 141.

consequence of influence processes."[289] Communication is therefore very important in the "development, transmittal, and receipt of verbal and nonverbal information, and the assessment of the normative relevance of the source of information, the information itself, and the match between the two."

The motivation for a salient identity seems to relate to the "need for positive self-esteem, positive identity, and the reduction of uncertainty."[290] Because the motivation for identity orbits these notions, communicating in a way to create a salient identity should not only seek to develop collaboration as a group norm, but should also meet the motivational factors of esteem, positive identity, and reduction of uncertainty. In order to accomplish the task of building a salient identity and meeting the motivational factors, two broad areas of communication can be used to understand the relationship of communication to group identity. In the study, *Communicating Social Identity: A Study of Catholics and Protestants in Northern Ireland*, it was proposed that trust and attraction could positively affect identity.

The study centered on disclosure between two out-groups (Catholics and Protestants) and "predicted that the cognitive pathway between contact and disclosure would be mediated by the degree of trust and attraction for the outgroup as well as by strength of ingroup identification."[291] This relates to the discussion of creating a salient identity where collaborative behavior is a norm because of the need to account for group members' preexisting identities, establish links to a new identity, and creating an environment where communication can contribute to collaborative decision-making. This relates back to the concept of an identity that impacts group behavior and therefore must be able to override pre-existing identities. The term superordinate identity discusses an identity that overarches others.

Superordinate identities can be understood in relation to teams that are "cross-functional."[292] Cross-functional teams are made of individuals with different skill sets

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[289] Hogg and Tindale, "Social Identity, Influence, and Communication in Small Groups," 141.

[290] Hargie et al., "Communicating Social Identity," 794.

[291] Ibid., 810.

[292] Sethi, "Superordinate Identity in Cross-Functional Product Development Teams," 330.

and ability whose ultimate goal is to work together toward some common task or goal. The issues that arise in cross-functional teams stem from "the presence of deep-rooted biases and stereotypes that individuals from on functional area hold against people from other areas."[293] In the context of the social identity approach, this means that some team members are kept from effective collaborative behavior by overriding identities. The importance of a superordinate identity is that barriers to collaborative behavior can be overcome. In order to overcome behavioral barriers, communication can be used as the process to create a superordinate identity.

Generating social reality can occur through multiple forms of communication including conversations and textual sources. Conversation "focuses on both process and structure, on collective action as joint accomplishment, on dialogue between partners, on features of the context, and on micro and macro processes."[294] More simply, conversation is the tool that can create action. In general, text occurs as individuals make sense of their group identities and is how group members "reflexively and retrospectively monitor, rationalize, and engender the action."[295] The role of communication can therefore be understood as a constructive mechanism that can build and modify identity, which leads to action.

B. EFFECTIVE COMMUNICATION – GROUP RELATIONS AS THE COMMUNICATION NETWORK

Peering into the concepts associated with the social identity approach has brought to light the benefits associated with salient social identities. The social identity approach is beneficial to communication because it departs from the "individual focus that identifies personal skills, traits, psychological biases, or cognitive capacity limitations" that are a normal focus of "communication success or failure."[296]

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[293] Sethi, "Superordinate Identity in Cross-Functional Product Development Teams."

[294] James R. Taylor and Daniel Robichaud, "Finding the Organization in the Communication: discourse as Action and Sensemaking," *Organization* 11, no. 3 (May 2004): 395-413, doi: 10.1177/ 1350508404041999, 396.

[295] Ibid., 396-397.

[296] Katharine H. Greenway, Ruth G. Wright, Joanne Willingham, Katherine J. Reynolds, and S. Alexander Haslam. "Shared Identity is Key to Effective Communication," *Personality and Social Psychology Bulletin* 41, no. 2 (November 2014): 171 – 182, doi: 10.1177/0146167214559709, 171.

The need for communication in social systems is important; however, there is also a limit to how much communication is needed for effective group behavior. The mantra of "more communication is better" is not always the case. This "blanket emphasis on more communication fails to take into account the functioning of…a social system."[297] Excessive communication could cause confusion and could also create noise, which may detract from the clear message that needs to be sent and received.

Communication is ultimately a two-way process where there is "some predictable relation between the message transmitted and the message received."[298] The underlying need is not only for a coherent message to be sent, but that the intended recipient understands the meaning of the message. This is where the social identity approach may be valuable in the regulation of the communication network used to pass information.

The social identity approach recognizes that "communications with ingroup members should be expected…to be easier, more fluent, and more constructive than those with outgroup members."[299] Communication is more effective with salient group identity because the identity "provides a platform for shared cognition, consensus, and coordination."[300] The role of identity as a communication platform is as a conductor and regulator of information. This is important to a "major determinant of communication: the coding process."[301]

In general, the coding process is how information is categorized so that it can be understood. The key to this process is understanding that relationship of categorization to interpretation. Daniel Katz and Robert Kahn, in *The Social Psychology of Organizations*, recognized Walter Lippmann's contribution to the social science involved in communication. Lippman wrote, "For the most part we do not first see, then define, we define first and then see…we tend to perceive that which we have picked out in the form

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[297] Katz and Kahn, *The Social Psychology of Organizations*, 430.

[298] Ibid., 431-432.

[299] Greenway et al., "Shared Identity is Key to Effective Communication," 172.

[300] Ibid., 172.

[301] Katz and Kahn, *The Social Psychology of Organizations*. 433.

stereotyped for us by our culture."[302] The role of categorization in communication is similar to that of the role of categorization in social identity.

The codes people use to self-categorize are related to the codes people use to communicate.[303] The coding is based on the categories available to group members for "judging" information presented to them.[304] In order to understand this process, the role of categorization in creating a salient social identity can be used as a framework because people create cognitive borders, where the communication of the group occurs. These limitations are created, in part, because of the group member accepting a salient identity that results in the acceptance of "norms and values" in addition to developing "shared expectations and values with other members."[305]

The norms, values, and expectations among group members give structure to communication. This can be envisioned as networks that develop as a "set of relations among actors' agencies or individuals" in a group setting.[306] The communication networks not only describe a cognitive structure, but also indicate "a certain kind of communications capacity that facilitates efficient communication" amid group members as they seek to reach a common goal or complete a particular task.[307] The relationship of salient identity to effective communication is therefore important because of the multiple identities that may exist in a group made of interagency representatives.

Haslam indicates that "the quality and efficacy of communication" can vary based on considerations such as: "the accessibility of a particular group-based self-definition," "comparative context," "normative context," and "social structure."[308] In general, Haslam means that communication is affected by these factors based on the group member's identification with the group, how they self-categorize, and the group's

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[302] Katz and Kahn, *The Social Psychology of Organizations*, 433.

[303] Haslam, *Psychology in Organizations*, 87.

[304] Katz and Kahn, *The Social Psychology of Organizations*, 433.

[305] Ibid., 434.

[306] Bardach, *Getting Agencies to Work Together*, 25.

[307] Ibid., 25.

[308] Haslam, *Psychology in Organizations*, 87.

identity in relation to other identities the member may use to describe themselves. The role of social identity in making communication more effective is to constrain communications within the context of the group's identity. This aligns group communication to motivate group members to communicate toward common goals and reduces uncertainty because they "speak and hear 'the same language.'"[309]

In a study relating effective communication to identity, researchers found that communication was more effective when "participants believed that their communication partner was an ingroup rather than an outgroup member."[310] Thus, the salience of an identity that recognizes group members as part of the collaborative is an important concept; however, it does not mean that the absence of group salience dooms communication to failure. The same study replicated findings in Sherif's *Robbers Cave* study where superordinate goals were found to attenuate intergroup conflict. In general, the study showed that when an identity, which superseded existing identities, became salient, communication became more effective.[311] This study is important when considering effective communication based on the recognition of social identity as the platform for communication and the network upon which communication travels.

Because identity gives structure and limits to communication, and as a result reduces noise and confusion, redefining or otherwise slightly shaping identity makes it "possible to influence the communication process."[312] The boundaries of communication can therefore be expanded or contracted in order to facilitate communication. This is a concept that supports the need for a salient identity that group members can share and recognizes that "it is *shared* social identity, rather than the content of the identity, that is the critical ingredient of successful communication."[313] Narrowing the boundaries of communication through principals of social identity should not be looked at as a restraint

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[309] Haslam, *Psychology in Organizations*, 87.

[310] Greenway et al., "Shared Identity is Key to Effective Communication," 178.

[311] Ibid., 178.

[312] Ibid., 179.

[313] Ibid., 179.

on the collaborative system, but as a means of creating a more focused information stream.

The communication network involved in the collaborative process is similar to that of organizational communication since it is made of:[314]

1. Size of the communication loop
2. Nature of the communication circuit
    a. Repetitive
    b. Modification
3. Open or closed character of the communication circuit
4. Efficiency of the communication circuit
5. Fit between the communication circuit and the overall system

The size of the loop is important because this is the way noise is reduced in the group and therefore is a way to gain clarity. The size of the loop also considers whether there is a need to expand the identity to be more inclusive and therefore relates to creating a superordinate identity that can become salient. The size of the communication loop also requires consideration of the nature of the communication circuit.

The communication circuit can be repetitive or it can require modification of the message.[315] In a scenario where collaboration is expected from a group, the repetitive circuit can be understood as directives that may be moving through the group and is repeated in order to pass the same information to group members. The role of a modification circuit is also understood because collaborative behavior includes group decision-making. The size of the communication loop is a factor in the case of modification to ensure the overall goal or task is not changed. In addition, modification loses the advantage of "simplicity and uniformity" that is present in the repetitive circuit. Not only can a collaborative group be impacted by the size and nature of communication circuits, it can also be impacted by the open or closed nature of communication.

The nature of communication circuits relates to the "circular character" of communication.[316] The circular nature of communication includes to modes of feedback

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[314] Katz and Kahn, *The Social Psychology of Organizations*, 435.

[315] Ibid., 435.

[316] Ibid., 435.

where it is simply the "acknowledgement and acceptance of the message" or a more complex route where there are "attempts to alter" the character of the message.[317] The feedback loop of the communication circuit is also related to the efficiency of the communication circuit.

The efficiency of communication can be understood as the "number of communication links in a given network."[318] This concept of efficiency can be affected by social identity salience because the roles of each group member can impact the communication network or links that develop. For example, control of the salient identity can grow or shrink the communication network through the social identity process because as members self-categorize and superordinate or subordinate identities become salient, the links of communication can change. Although the efficiency, or action of communication, is impacted by the number of communication links, this is not the same as describing the *effectiveness* of communication.

Effectiveness of communication is how well the communication circuit is working to produce the desired outcomes of the group. As discussed previously, the "communication with ingroup members is more effective than communication with outgroup members."[319] Therefore, the "fit between the communication circuit and the overall system" is an important concept where the communication loop has to fit with the overall needs of the collaborative group to reduce the chance a "dysfunctional arrangement" of communication develops.[320]

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[317] Katz and Kahn, *The Social Psychology of Organizations*, 436.

[318] Ibid., 436.

[319] Greenway et al., "Shared Identity is Key to Effective Communication," 179.

[320] Katz and Kahn, *The Social Psychology of Organizations*, 439.

VIII. CONCLUSION

This research examined the positive effect the social identity approach can have on collaboration through communication and has resulted in conclusions that may be beneficial to leaders in the homeland security enterprise. Although research into collaboration and communication tend to be amorphous, the social identity approach lends understanding and a framework to assist leaders in changing behavior. The research resulted in a strong understanding of group dynamics based on self-categorization and social identity theory, which makes up the social identity approach. In addition to understanding the social identity approach, the research indicates that basing communication on tenets of the social identity approach could result in a more salient group identity. Leaders who are able to create a salient group identity may not only benefit in driving group behavior, but may also improve communication. In addition, creating a salient identity can positively impact collaboration because of the role identity plays in decision-making.

The salience of identity is believed to drive individual behavior as a group member and communication is a significantly important way to create and mold identity because communication can affect the cognitive, evaluative, and emotional components of social identity. In concluding this research, the three areas of academic study: collaboration, communication, and social identity are translated and synthesized into a set of principles, which leaders in the public sector may find useful. The real-world utility of this research hopes to aid members of the public sector in creating the capacity to collaborate within their own organizations and also when leading a collaborative group that forms to meet particular homeland security goals including managing an emergency, intelligence gathering, or counter-terrorism.

Finally, this research closes with the conclusion that a social identity approach to communication may be beneficial to other behavioral concerns where groups are involved. This includes, but is not limited to, morale, policy changes, community relations, interagency rivalry, budgeting, leadership changes, integration of new employees, and cultural changes.

A.   COMMUNICATIVE CONSTRUCTS - PRACTICAL CONSIDERATIONS FOR COMMUNICATING USING A SOCIAL IDENTITY APPROACH

This section focuses on practical considerations for a public sector leader who wishes to have an impact on collective identity and thereby an impact on collaborative behavior. These considerations seek to turn the theoretical and academic information of this research project into more easily understood and useful approaches for leaders to communicate. These "communicative constructs" were harvested from the research and the discussion of each construct cultivated to give a better understanding of how each construct is applied to the social identity approach. Rather than focus purely on collaborative behavior, the application to social identity is developed because of the value identity creation and management can play in any group behavior including, but not limited to, collaboration. A practical example follows each construct to provide additional information to the practitioner.

The practical examples were taken from the response to the Boston Marathon bombing, which took place on April 15, 2013 and ended 102 hours later.[321] The response to the crises required collaboration between multiple layers of government, separate agencies from within each level of government, and the community at-large. The purpose of using examples from the Boston Marathon bombing response is merely to provide practitioners a means of simplifying the concepts of this research. These concepts can then be applied to multiple situations from the most simple to the most complex, and from incidents that take place over a short time frame to those that take place over many years and decades.

1.   Model the Behavior

Prototypical behavior was discussed as an important leadership role based on the indication that prototypicality is "the extent to which a given category member is

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[321] Leonard J. Marcus, Eric McNulty, Barry C. Dorn, and Eric Goralnick, *Crisis Meta-Leadership Lessons from the Boston Marathon Bombings Response: The Ingenuity of Swarm Intelligence* (Cambridge, MA: National Preparedness Leadership Initiative, 2014). http://cdn2.sph.harvard.edu/wp-content/uploads/sites/8/2014/09/NPLI-Marathan-Bombing-Leadership-Response-Report-dist.pdf

representative of the category as a whole."[322] This was related to the familiar concept of leadership by example. Leading by example may be a trite and simple-sounding expression; however it does express the underlying meaning of a leader serving as a prototype. The power of prototypes in communicating identity is a more complex and advanced concept because a leader can shape model behavior by both non-verbal and verbal methods.

Providing group members with example behavior is a non-verbal method of communicating prototypical behavior. This example behavior may differ from what the average type of behavior is in a group. In essence, if the current norm of the group is not expressed in wanted behavior, example prototypical behavior can be used to shift the norm. When prototypical behavior is demonstrated, and that behavior is offset from the average behavior, then "conformity will manifest itself as convergence on this displaced mean."[323] More simply, this means that a prototypical group member can exhibit sought-after behavior and if the group is not exhibiting that behavior, their behavior will shift toward more prototypical behavior.

For example, at the time of the Boston Marathon bombing, Billy Evans was the Boston Police Superintendent. He had finished running the marathon and was relaxing when he received news that there had been a bombing. Evans, after a "quick moment of freeze," immediately responded to the scene and would later lead the operation to apprehend one of the suspects.[324] Evans' example of *leading from the front* and exemplifying the type of behavior he sought from law enforcement was evident during the operation where numerous officers from multiple agencies formed behind him. Evans states, "There I was. The suspect was in front of me and one hundred guys were behind me, all with their guns pointed at my back. I went to the basement."[325] Evans demonstrated the prototypical behavior he expected.

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[322] Haslam, *Psychology in Organizations*, 281.

[323] Hogg and Abrams, *Social Identifications*, 174.

[324] Marcus et al., *Crisis Meta-Leadership Lessons from the Boston Marathon Bombings Response: The Ingenuity of Swarm Intelligence*, 20.

[325] Ibid., 13.

2.   **Adjust Salience through Communication**

In addition to the exhibition of behavior, model behavior can be expressed in verbal communication. The role of communication in developing a salient identity is an important concept because behavior is more greatly impacted by a salient identity. Salient identities not only impact behavior, but salience can also assist in the creation of a superordinate identity, which can overcome behavioral norms associated with other identities. Communication can redefine or create identity and therefore it can serve "in both describing and shaping" identities.[326]

Communication can have an impact on group behavior because it can affect what the "collective is perceived to be and individual members' sense of their own identities."[327] The perception of group members can therefore be driven by communication. Perception is important because perceptual systems predispose "us to structure incoming information and impose patterns on that information."[328] Communication can change the perceptual system so that the appropriate decision-making process can be applied to incoming information.

Interpreting information within the frame of group identities lends credence to the social identity approach. The group members will tend to relate and react to information based on identity and can therefore lead to collective behavior.[329] This means that group members observe information from the lens of their group identities. The individual makes sense of the information based on their group identity and this is based on stereotypical ingroup norms, identification, and self-categorization.[330] Communicating in a way that impacts the way group members make sense of information can therefore impact how group members behave.

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[326] C. Marlene Fiol, "Capitalizing on Paradox: The Role of Language in Transforming Organizational Identities," *Organization Science* 13, no.6 (December 2002): 653-666, doi: 10.1287/orsc.13.6.653.502, 654.

[327] Ibid., 653.

[328] Moghaddam, *Multiculturalism and Intergroup Relations*, 30.

[329] Hogg and Abrams, *Social Identifications*, 150.

[330] Ibid., 150.

For example, following the Boston Marathon bombing law enforcement officers responded from the salient identity they were used to. The officers responded with their patrol vehicles, got as close as they could, then disembarked and "ran toward the action."[331] The response by those officers occurred because they interpreted information and responded based on their identity as an officer. In reality, this created chaos and their interpretation needed to be reframed from the perspective of a new identity, an identity as a member of an interagency response to a crisis. The interpretation of information via a new frame of reference began with the Boston Police Superintendent-in-Chief Daniel Linskey who ordered the officers to a new location, which was large enough to act as a staging area.[332] This began the creation and management of a new identity for each of those officers and ultimately resulted in collaborative efforts to restore order and manage the crisis.

3.   Motivate through Superordinate Goals

This research project has argued that identity matters because "identity situates the person in a given context, delimiting a set of cognitions, affect, and behaviors."[333] The importance of identity was rooted in both self-categorization theory and social identity theory because those theories provide the "fundamental notion of 'I as part of we,' or the feeling of 'being part of something greater.'"[334] The enhanced feeling individuals get from "being part of something greater" was exposed as a means of dealing with intergroup conflict and could also be beneficial to creating an environment where individuals would want to work as a collective group toward a common goal. Superordinate goals can be established to provide the enhanced feeling of working together.

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[331] Marcus et al., *Crisis Meta-Leadership Lessons from the Boston Marathon Bombings Response: The Ingenuity of Swarm Intelligence*, 23.

[332] Ibid.

[333] Blake E. Ashforth, Spencer H. Harrison, and Kevin G. Corley, "Identification in Organizations: An Examination of Four Fundamental Questions," *Journal of Management* 34, no. 3 (June 2008): 325-374, doi: 10.1177/0149206308316059, 334.

[334] Ibid., 334.

One blockade to collaborative behavior may be stronger identities that supersede the identity of the collaborative group. Communicating superordinate goals can help overcome non-collaborative behavior because these types of goals have an appeal greater than the subordinate identities.[335] Superordinate goals can help because these types of goals give a reason and meaning to group identity. For example, when understanding crowd behavior, Hogg and Abrams argue that crowds behave according to norms.[336] These norms can emerge from the reasons a crowd develops including cultural, ideological, and political reasons while also emerging from norms constructed from the situation. Consequently, superordinate goals that provide the backdrop and reason for group identity will have an impact on group behavior and decision-making.

The value of a superordinate goal was exemplified in the response to the Boston Marathon bombing. Unity among multiple stakeholders including law enforcement and emergency medical response was gained through a simple superordinate goal that transcended agency rules and competing identity. During the response, the superordinate goal to *save lives* resulted in the Boston Police Department breaking a long-standing rule that "forbids transporting people in police vehicles."[337] Police personnel transported injured parties in police vehicles because ambulances were overtasked. Communicating and believing in a superordinate goal allowed the Boston Police Department to overcome a hurdle that would have normally prevented them from transporting injured personnel.

4. Provide Respect-Generating, Self-Categorization Options

One reason for group identification is the need for individual self-enhancement.[338] In other words, individuals join groups that show them in a good light. The social identity approach provides for this through an understanding that self-concept is an important aspect of identity and therefore behavior.[339] The social identity approach

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[335] Sherif et al., *The Robbers Cave Experiment*.

[336] Hogg and Abrams, *Social Identifications.*

[337] Marcus et al., *Crisis Meta-Leadership Lessons from the Boston Marathon Bombings Response: The Ingenuity of Swarm Intelligence*, 13.

[338] Ashforth, Harrison, and Corley, "Identification in Organizations."

[339] Haslam, *Psychology in Organizations.*

indicates that an individual "will tend to remain a member of a group and seek membership of new groups if these groups have some contribution to make to the positive aspects of his social identity."[340]

Communication with group members can provide conditions that allow individuals to gain positive self-evaluation from group belonging. Group identities which allow for positive self-evaluation can result in the production of "normative behavior, stereotyping, ethnocentrism, positive in-group attitudes and cohesion, cooperation and altruism, emotional contagion and empathy, collective behavior, shared norms, and mutual influence."[341] Therefore, communicating in a way that allows group members to gain positive self-evaluation can change behavior and create an environment for collaborative behavior.

For example, one hour following the Boston Marathon bombing, leaders from multiple agencies met at a hotel. During the initial hours, "it was a crowd of people, most in uniform, gathering in agency specific circles."[342] This resulted in communication that occurred within agency boundaries. Communication then began to happen between peers in different agencies. During this communication process, it was realized that "this event was bigger than one agency alone."[343] In essence, each of the leaders at that original meeting began to self-categorize themselves and identify with the larger coalition forming to deal with the event. This resulted in a new, greater identity that served as a positive means of identification.

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[340] J.M.F. Jaspars and Suwarsih Warnaen, "Intergroup Relations, Ethnic Identity and Self-Evaluation in Indonesia," In *Social Identity and Intergroup Relations,* edited by Henri Tajfel, 335-366. Cambridge: Cambridge University Press, 2010, 337.

[341] Michael A. Hogg and Deborah J. Terry, "Social Identity and Self-Categorization Processes in Organizational Contexts," *Academy of Management Review,* 25, no. 1 (January 2000): 121-140, 123.

[342] Marcus et al., *Crisis Meta-Leadership Lessons from the Boston Marathon Bombings Response: The Ingenuity of Swarm Intelligence*, 29.

[343] Ibid., 29.

5. Validate Prototypical Behavior of Group Members

Group members who are "seen as prototypical, or exemplary, members of the group" can exert the "most influence in providing norms for other group members."[344] Communication can help assist other group members in recognizing prototypical behavior. This can occur through validating prototypical behavior.

Communication that validates prototypical behavior takes the form of communication that recognizes sought-after behavior and positive-reinforcement that rewards such behavior. Because prototypes are a major way to convey group norms, communication that recognizes prototypes will help enhance the establishment of norms. This type of validation and recognition of prototypical behavior enhances group norms because norms are subjectively represented by the prototype.[345] Outwardly recognizing prototypical behavior is therefore important because people "think, feel, behave, and define themselves in terms of group norms."[346]

An informal rule emerged following the Boston Marathon bombing, "no one grabs credit; no one shoots blame."[347] This type of behavior was recognized multiple times by leadership and also in the media. The result was a feeling of "we're all in this together," and reduced the chance of issues developing that "would have crushed the character of the response."[348] This approach to recognizing prototypical behavior was exemplified during a press conference on April 15, 2013 where the Governor and other leaders appeared. Multiple agencies were recognized along with individuals, and the community. The stage was shared between leaders from different levels of government and from different agencies. Cooperation was recognized a number of times, including from Governor Deval Patrick who stated, "a lot of coordination in a very fluid situation"

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[344] Hogg and Abrams, *Social Identifications*, 151.

[345] Deborah J. Terry and Michael A. Hogg, "Group Norms and the Attitude-Behavior Relationship: A Role for Group Identification." *Personality and Social Psychology Bulletin* 22, no. 8 (1996): 776-793.

[346] Terry and Hogg, "Group Norms and the Attitude-Behavior Relationship," 780.

[347] Marcus et al., *Crisis Meta-Leadership Lessons from the Boston Marathon Bombings Response: The Ingenuity of Swarm Intelligence,* 16.

[348] Ibid., 16.

was occurring between federal agencies, state agencies, and local agencies.[349] Recognition of such behavior and non-verbal communication such as the presence of multiple agencies and representatives validated prototypical behavior and this prototypical behavior (coordination and cooperation) remained throughout the response.

B. THE SOCIAL IDENTITY APPROACH AND BEHAVIORAL CHANGES: CONSIDERATIONS FOR FUTURE RESEARCH AND USEFULNESS

This research project focused on the use of communication to establish or transform group identity in order to impact collaboration. The social identity approach not only gives theoretical background for how to impact behavior, but also allows leaders to constrain their communication to that which is most beneficial to their end goals. In this case, collaborative behavior was proposed as the end goal; however through this research it appears as if the social identity approach can make communication more effective in changing group behavior and mediating intergroup conflict. Communicating with a social identity approach in mind is the first consideration for future research.

This research has shown that communication is recognized as a means of establishing norms and norms as a major component of social identity. However, research that focuses on social identity has not received "theoretical and empirical attention within and from the social identity analysis of norms."[350] The relationship between social identity and communication seems to be one that can be studied further and applied to multiple situations involving group behavior.

Further research could also include those interactions specific to the homeland security enterprise. Collaboration has been the focus of this research; however, a social identity approach to communication can apply to other areas. For example, community resiliency is one area of concern to emergency management. This research has focused on the positive impact social identity can have on group behavior. Communities have been studied and the impact of self-categorization and social identity on communities is

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[349] "BOSTON OFFICIALS PRESS CONFERENCE AFTER MARATHON EXPLOSION," YouTube video, 4:48, from a press conference televised by WCVB on April 15, 2013, posted by "ctnow," April 15, 2013, https://www.youtube.com/watch?v=y8dAvOBFfWw.

[350] Hogg and Reid, "Social Identity, Self-Categorization, and the Communication of Group Norms."

available. Further research can expand the role of the social identity approach to building community resilience and how communities may deal with disasters as a local problem to mitigate the disaster.

In addition to homeland security-related areas of focus, organizations at all levels of government could also be examined to determine how a social identity approach to leadership, followership, and peer interactions could help organizational performance. An example of this research could involve looking at subgroups within an organization and how those sub-categories of the greater organizational identity may impact the effectiveness and efficiency of organizational performance.

Finally, further research could also be valuable to community relations. This seems to be an area that is ripe for research. Issues between law enforcement and some communities in the United States regarding use of force issues and feelings of oppression could be positively affected by using the social identity approach to bring two disparate groups closer together. This area of research could be applied to government agency and community relations because of the valuable research that has already been accomplished in the field of intergroup relations and conflict management. Similarly, countering violent radicalization would also be a suitable use for this research.

In closing, this research has shown the value of the social identity approach to the homeland security enterprise. This research has shown that the social identity approach can be used to develop communication methods and tactics that will build collaborative capacity in organizations and develop collaborative working environments in interagency groups. In addition, because of the broad applicability of the social identity approach, it appears as if the research could be used to help morale in homeland security agencies, help cure inefficiencies within agencies, and develop stronger relationships between communities and government agencies. The social identity approach is not a one-size-fits-all tool to fix many problems, but it is a flexible approach that can be applied to many different situations involving different types of groups from large multi-jurisdictional interactions, to small group interactions within a single agency, or single unit within an agency.

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